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ABSTRACT

In response to the institutional change, a Management Review and Analysis Program (MRAP) was conducted at the University of Massachusetts at Amherst Library during 1974-1975. The first two chapters of the report describe the library, its institutional setting, missions, and goals. The other nine chapters discuss issues, problems, and recommendations in planning, policy formulation, budget, management information systems, organization, leadership and supervision, staff development, personnel, and general management. The report does not call for major changes, but suggests improvements of the existing operations and administrative structure. Major recommendations pertain to goal formulation, systematic planning, consistent application of personnel policy, efficient leadership, and internal communication. (SC)

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A Management Review and Analysis of the University of Massachusetts at Amherst Libraries Amherst, Massachusetts

Sponsored by
The Association of Research Libraries
Office of University Library Management Studies

and
Conducted by
The UMass/Amherst Library
MRAP Study Team and Task Forces

July, 1976

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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FOREWORD

Higher education in the 70's is experiencing decline: in enrollment, in resources, and in public support. Libraries, as subordinate elements of higher educational institutions, are feeling the effects of this decline in even more acute ways than their parent institutions. They are confronted with rising demands coupled with a diminishing capacity for response to them. If libraries are to survive, new ways must be found to meet the information needs of their users. This will involve sharing of resources and exploitation of new technologies, but more than anything else it will require the effective mobilization of human resources. A productive, innovative, energetic staff, working together to achieve common goals, is the library's principal hope for coping with its problems.

This Management Review and Analysis Report is a first step in trying to resolve some of the issues which confront this library. We must not be afraid to test different organizational modes, different mixes of skills, different concepts of what a library should be. But we must remember that the library is not an end in itself, it exists to provide service to the wider university community. Any library program must be based on this principle.

This report represents the contributions of many staff members, and I am grateful for their dedicated efforts. To the maximum extent possible the recommendations presented here will be implemented, but in many ways this report can only be a beginning to further efforts that must be made as the library attempts to respond to the forces of change that are flooding in upon it.

Richard J. Talbot
Director of Libraries

INTRODUCTION

The University of Massachusetts/Amherst Library participated in the fourth application of the Management Review and Analysis Program (MRAP IV) developed and guided by the Office of University Library Management Studies of the Association of Research Libraries. The Program began in September 1974 and was essentially concluded in August 1975. The Study Team and the Task Forces were appointed from volunteers by the Director of Libraries, and operated generally within the guidelines of the MRAP Manual. Because of limitations on budget and staffing, certain of the time sequences recommended by the Manual were altered. The Task Forces operated in two phases instead of three: those in the first phase, in January and February 1975, were Planning, Budget, Management Information Systems, and Organization, and in the second phase, operating in May and June of 1975, were Policy Formulation, Staff Development, Personnel, General Management, and Leadership and Supervision. The latter continued operation through the summer.

One constraint on a program such as MRAP is the rapidity of institutional change: in the time it takes for certain areas to be studied, analyzed and documented, events and/or operations may have radically altered them. The academic year 1974-75 was perhaps more dramatic than many others, because of the worsening economy and budgetary difficulties leading to a total job freeze in January 1975, and sharp cuts in operating and acquisitions funds. The Study Team did not attempt to incorporate all of the changes into its Final Report, nor to indicate all of the recommendations which have already been implemented as the portions of the Report were reviewed in draft form. Some events were taken into consideration and some corrections made, but essentially this Final Report is based on our perceptions of Library operations during 1974-75.

As one might expect in a project of the complexity and magnitude which the MRAP study represented, there were personal differences of opinion, perception and judgment among the members of the Study Team and the Director. Controversy is attested to by several changes in the membership and chairmanship of the Study Team. The demands placed on the individual members of the Study Team frequently competed with their daily responsibilities, and a great deal of fatigue was evident at times. Some of the original members of the Study Team were unable to continue to the termination of the study, and others, due to the time span over which the study extended, had gone on to other opportunities before the completion of this report. The current members of the Study Team acknowledge their gratitude to Virginia Conrad, Jean Scanlan, Kathleen Walsh, and George Wright for their contributions as members of the Study Team, and Emily Kimmel who chaired the Task Force on Leadership and Supervision.

An important benefit of MRAP is the educational and practical experience it provides: working in small groups, involving staff hitherto unfamiliar with administrative problems, attempting broad, objective, institution-wide criticism, and focusing on constructive recommendations for change. Almost 1/3 of the full time staff were involved in Task Force work, and many others in interviews and responding to questionnaires. The Study Team found the Library staff to be cooperative, open, and patient, if occasionally a little skeptical, and expresses its thanks to the staff. Special thanks go to the long-suffering people who typed, retyped, duplicated and distributed drafts of the Report.

The educational process of MRAP may well be its most important and influential product. We hope, of course, that our findings and recommendations will be seriously considered and implemented, but further, that the spirit of cooperative effort will be fostered in the future. A program such as MRAP may also raise more questions than it answers. The Study Team recommends continued efforts at review and analysis of ongoing operations as a method of dealing with emerging problems and issues. The techniques developed during MRAP, and the lessons learned, can be effective in utilizing local expertise, in improving communication between management and staff, and in developing more efficient and economical ways of operating the Library and providing better service to the University.

MRAP Study Team:

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SUMMARY

The MRAP report does not call for any major changes in the administrative structure, policy, or personnel of the Library. The general consensus seems to be that the Library's organization is flexible enough to adapt to changing circumstances, and that basic provisions exist for the formulation and dissemination of policy, for the safeguarding of the interests of the people employed in the Library, and for a communications system adequate to the Library's needs. Instead the recommendations call for the filling in of gaps and for the systemization of structures and procedures already in place.

Throughout the various reports certain themes appear and reappear. One major theme which is repeated in the recommendations of most of the Task Forces is the need to formulate the goals of the Library and to establish priorities in order to provide a focus for the efforts of the staff. While recognizing that a beginning had been made, the Task Forces found evidence of a strong desire for sustained commitment to the developemnt of detailed statements of goals and objectives for all units of the Library.

Related to this theme is the expression of a need for systematic planning, and for the systematic gathering of information and data which can serve as the basis for informed planning.

In the area of personnel a recurring theme is the wish for consistency in the application of policy, and for a real commitment on the part of management and supervisory staff to open and fair competititon for the limited opportunities for advancement. A special concern is evident in the recommendations relating to the classified staff. For a variety of reasons there are not enough appropriate positions for full utilization of talent and for advancement in rank; several Task Forces called for providing as many opportunities of other kinds as possible. Further concern in the area of personnel is focused on the leadership functions in the Library and additional support and training for supervisory staff.

One final theme, which is touched upon in almost all of the Chapters, is the need for increasing the flow of information througout the Library, both for operational purposes and to foster in all staff members a feeling that they are a critical part of the organization. The Library has a sound basis for a communications system, through its meetings, publications and reports, but a number of recommendations suggest ways of improving this system.

All of the Task Force reports have been read in draft form by members of the Library's Administrative Staff and discussed in a series of Administrative Staff meetings. Corrections and suggestions which emerged in these meetings have been incorporated in the Report where appropriate. Very few of the recommendations contained in the Report were questioned by the Administrative Staff.

For purposes of summary, the recommendations of the Study Team may be grouped into the following categories: Administration, Personnel, Internal Communication, and Relationships with the Public.

ADMINISTRATION

Executive leadership

The Director must set the management style for the organization; he should make his own management philosophy clear and indicate the direction in which he would like others below him to move managerially. (General Management)

The Director should clarify to all supervisors and staff what types of problems and questions should be dealt with through the usual chain of command, what procedures are to be followed when problems or questions involve different departments or divisions, and under what conditions the Director, the Associate Directors and the unit heads are available for direct consultation, disregarding the chain of command. (Leadership & Supervision)

Goals and objectives

The library should continue and standardize the process of formulating goals and objectives, including individual unit goals, and see that they are available to the staff. (Planning, Organization, Leadership and Supervision, Budget, Personnel)

Department and unit heads should involve non-supervisory staff in the goals setting process and in workflow planning. (General Management)

Library goals and objectives should reflect budget information where pertinent, and should contain cost analysis figures. (Management Information Systems)

Department projects should be listed by priority as part of the goals setting process. (Budget)

The Director should name a person or committee to work with administrative staff to develop critical performance measurements. (Management Information Systems)

Committee structure

Committee work should be recognized as a valuable way for staff members to develop interpersonal skills and relationships while participating in the administrative workings of the Library, and more committees should be opened up to classified staff members. (Staff Development)

Policy-recommending committees should include representatives of all affected departments, and classified staff where appropriate. (Policy)

Organizational structure

The status of the reading rooms should be defined and clarified. (Organization)

"Off-hours" (i.e., hours that the Library is open other than 8:00 a.m. to 5:00 p.m.) responsibility should be defined and delineated. (Organization)

Additional staff is needed for the Public Services Office to cover needed functions. (Organization)

The staff of the Exit Desk should report through a unit head. (Organization)

Planning

The Director should appoint a planning coordinator and a planning task force. (Planning)

The Library should continue to analyze its financial condition in comparison with similar institutions, including the development of cost figures, to use for planning purposes. (Management Information Systems)

Budget

The Library should insure that the Budget Officer and Associate Directors are prepared for zero-based budgeting and that systematic Library input to the budget process includes department heads. (Budget)

Responsibility for data gathering for the budget should be vested in one person and/or a Library-wide committee of people who are interested in and who have expertise in data gathering. (Budget)

Operations

Internal Library support services--financial, mail, personnel, supplies--should be centralized in the Library Office, and the

possibility of Library management of photocopying services should be investigated. (Organization)

Mail delivery should be improved. (Management Information Systems)

The gathering and dissemination of statistics should be studied throughout the Library in order to improve and standardize their use. (Management Information Systems)

Department and unit heads should complete procedural manuals and provide for their systematic updating. (General Mangement)

Policy

A directive should be issued stating who is authorized to make policy statements and how they should be disseminated. (Policy)

The Director should appoint a committee to review the Policy Task Force's recommendations and recommend areas to be covered by new or revised policy statements. (Policy)

Policy statements should be distributed from the Director's Office; distribution should include all persons maintaining official notebooks. (Policy)

Policies should be written broadly and in a standard format. (Policy)

The Director's Office should initiate policy reviews; every policy should be reviewed at least every two years. (Policy)

The policy on released time for attending classes should be evaluated and revised if necessary and a standard interpretation of it be applied throughout the Library system. (Staff Development)

The recommended training program for supervisors should emphasize basic personnel principles governing the application of policy. (Personnel)

PERSONNEL

Assignments

A program for the exchange of personnel among units and libraries should be developed in order to expand opportunities, to facilitate communications, and to improve staff relations. (Management Information Systems, Staff Development)

Definitions of roles and responsibilities

The personnel staff should compile a personnel manual and distribute it to the supervisory staff by May 1, 1976. (Management Information Systems)

Classified supervisory positions should be identified by the personnel staff and this information should be readily available. (Leadership and Supervision)

The job audit of classified staff should continue and be completed. (Organization)

The Director with the present personnel staff should consider the reallocation of responsibilities so that one person could devote full-time to personnel. A full-time personnel officer should be recruited when feasible. (Personnel)

A member of the personnel staff should be charged with concern for the improvement of the working environment (relationships between supervisors and those supervised, departmental and divisional interests, and job satisfaction.) (Personnel)

More flexibility in the use of classified staff should be explored. (Personnel)

The personnel staff should prepare a written statement of objectives and a detailed outline of the operations of the personnel function. (Personnel)

The Director and the Staff Development Committee should clarify the Committee's role and purpose. (Staff Development)

Policy guidelines for student staff should be developed and salary inequities should be corrected. (Personnel)

Performance appraisal

More support and assistance in the form of technical advice should be given to supervisors in performance appraisal; this is a function for which a full-time Personnel Officer, trained both in personnel and librarianship, could provide effective support. (Personnel)

The Director should appoint a group consisting of supervisors and non-supervisors to review procedures for the evaluation and selection of supervisors. (Leadership and Supervision)

In line with the Library's efforts to use the Management by Objectives approach, evaluations should be based upon specific goals mutually agreed upon by supervisor and employee in advance. These goals should be used as the basis for a continuing evaluation of performance as well as for the formal annual review. (Personnel)

Training

Staff development opportunities should be systematically and regularly publicized. The Staff Development Officer should continue in the role of chairperson of the Staff Development Committee and be allowed sufficient time for her duties; the committee should monitor the program and develop a three year plan. (Staff Development)

On-the-job training should be formalized, and the orientation program for classified staff should be expanded along lines similar to that for professional staff. All staff members who have not done so should take part in an orientation program. (Staff Development)

The expansion of student staff orientation and training should be investigated. (Staff Development)

The orientation packets for new staff should be expanded to include more information. (General Management)

Attendance at and support of management seminars and training programs should be encouraged. (Leadership and Supervision)

All supervisors should receive basic training in a variety of supervisory responsibilities, techniques and skills; this training should stress the equitable application of personnel policy. (Leadership and Supervision, Personnel)

A forum for the discussion of supervisory philosophy, style, problems, and policy application should be established; this should include classified as well as professional supervisors. (Leadership and Supervision)

The Director should instruct the Personnel Policy Committee to examine the informal two-track system for professional advancement and make recommendations for formalizing it. (Leadership and Supervision)

Long term goals for staff development, and a skills inventory, should be undertaken. (Personnel)

INTERNAL COMMUNICATION

General

The Systems Department should inform the Library staff of new or changed automation programs. (Management Information Systems)

The Systems Department should develop a mechanism for prompt feedback on requests for program changes. (Management Information Systems)

The Public Services Division should develop a mechanism for prompt feedback on maintenance requests. (Management Information Systems)

The Staff Development Committee should establish open lines of communication with the staff. (Staff Development)

The Library staff should accept their responsibility to be informed of and concerned with Library matters, by reading the Library Information Bulletin, attending meetings, and working on committees. (General Management)

Department and unit heads should consider setting up office hours so they are regularly available to staff. (General Management)

There should be a better flow of information between departments. (Leadership and Supervision)

A staff reading room should be set up. (General Mangement)

Staff and staff meetings

When decisions which depart from stated policy are taken, special effort should be made to explain the reasons to concerned staff before formal announcements are made. (Personnel)

The Director should consider holding full staff meetings once a month in lieu of the weekly department meeting. (General Management)

Department and unit heads should orient staff to new policies, and distribute copies if applicable to their work. (Policy)

Administrative staff should be responsible for reporting information to their units. (Management Information Systems)

Regular departmental meetings should be held, to serve as a forum for exchange of information, and for questions, as well as for passing on news. Members of other departments might occasionally be invited for information and discussion. (Leadership and Supervision)

Publications

The Library Information Bulletin should have a revitalized system of reporters, expecially from among the classified staff. (General Management, Mangement Information Systems)

New and revised policies should be announced in the Library Information Bulletin with references to where they are available. (Policy)

Staff development opportunities should be listed together in the Library Information Bulletin. (Staff Development)

The Staff Development Officer should publish a quarterly report in the Library Information Bulletin. (Staff Development)

Complete sets of all printed materials giving information on personnel policies and procedures applicable to each of the three main groups of staff, together with a list or index to these materials, should be made available in at least four locations within the Library--the Library Office, the offices of the two major Divisions and a location readily accessible to all staff members. (Personnel)

The purpose and scope of the Library Newsletter should be clearly defined. A timetable and categories of information to be published at key times during the year should be established. The Director's annual report should continue to be published in the Library Newsletter. (General Management)

The budget officer should publish a monthly report, and inform the staff of the availability of budget information. (Budget, Management Information Systems)

Each unit should publish a list of persons responsible for certain activities; this list should be updated periodically. (Management Information Systems)

A master calendar of Library events and a master list of documents and reports available should be compiled in the Library Office. These should be updated regularly. (Management Information Systems)

Official policy notebooks should be maintained in the Library and divisional offices with only policies in them and nothing else. (Policy)

The preparation and distribution of departmental monthly reports should be extended. (Management Information Systems) These reports should be routed or posted within the departments. (General Management)

The Director should publish a monthly summary report. (Management Information Systems)

The Director should continue the policy of requiring annual reports from committees. (General Management)

The minutes of the Administrative Staff meetings should be more complete, and should be routed or posted in each unit. (General Management)

The minutes of Executive Committee, Administrative Staff and divisional meetings should be made available to the administrative staff. (Management Information Systems)

RELATIONSHIPS WITH THE PUBLIC

Needs of users

The Library should establish a mechanism to identify campus needs; this may be done by an individual or a committee. (Organization)

The Library should identify and provide access to the various information sources on campus. (Organization)

The lobby information desk should be staffed. (Organization)

An information center should be created in the elevator lobby on the entrance and main levels, with glass enclosed bulletin boards. (General Mangement)

Public Relations

A better location should be found for the "Suggestion Box" and a less negative format for responses should be designed. (General Management)

The Director should consider assigning the coordination of all Library public relations to one person. (General Management)

The Library administration should consider ways of publicizing the costly infringements of rules, vandalization, etc., to the public. (General Management)

The Library should announce the recommendations of the Faculty Senate Library Committee more widely to users and staff. (General Management)

Continued efforts to utilize the Collegian for publicity should be made. (General Management)

TABLE OF CONTENTS

		Page
Foreword		i
Introduction		ii
Summary		iv
Chapter I:	Description of the Library in its Institutional Setting	1
Chapter II:	The Mission and Goals of the Library	13
Chapter III:	Planning	15
Chapter IV:	Policy Formulation	19
Chapter V:	Budget	24
Chapter VI:	Management Information Systems	29
Chapter VII:	Organization	35
Chapter VIII:	Leadership and Supervision	45
Chapter IX:	Staff Development	54
Chapter X:	Personnel	62
Chapter XI:	General Management	72
APPENDIX		

CHAPTER I

DESCRIPTION OF THE LIBRARY IN ITS INSTITUTIONAL SETTING

HISTORY OF THE UNIVERSITY

The University of Massachusetts/Amherst began life as Massachusetts Agricultural College in 1863, as a land-grant institution. In 1931 MAC became Massachusetts State College, reflecting the broader scope of its educational offerings, and in 1947 the school became the University of Massachusetts. Until the opening of the Boston campus in 1965, Amherst was the University's only campus, with enrollment which reached about 10,000 at that time.

The dramatic growth began in the 1960's, concurrent with the legislation of fiscal autonomy, impressive recruiting and hiring of faculty, and a steady increase in enrollment. This period marked the development of graduate and professional programs, experimental and alternative courses of study, and the beginnings of the Boston campus and the Medical School at Worcester. Growth at Amherst was planned to level off at 25,000 and at present the enrollment is about 23,000. The 1960's also saw the expansion of the state colleges, technical colleges and community colleges in the Commonwealth, many of the latter newly established. Public higher education took on a more planned, structured and geographically distributed quality than had been the case in the past.

The tradition of higher education is an established and famous one in Massachusetts, largely due to the many distinguished private colleges and universities which flourish here. The commitment to public higher education consequently developed late, and Massachusetts still ranks among the lowest of the states in expenditures per capita for public higher education. Current economic conditions and inflation threaten even the level of support which has been provided for the last 15 years.

Amherst is a residential campus, with about 2/3 of its students living in dormitories or other University-owned housing. Most of the students come from within the Commonwealth; the campus has traditionally served a somewhat lower income population than public universities around the country and comparable private universities in the Commonwealth.[1] In the last ten years the landscape of the previously bucolic campus has been radically changed--five high-

[1] Report on the Future University of Massachusetts, 1971, p. 2.

rise dormitories, a graduate research tower, a twenty-eight story library plus many other, more traditional buildings have been built; many apartment complexes and housing developments nearby have changed the face of the surrounding towns. The original agricultural facilities are being moved to another site outside of Amherst.

As growth of the Amherst campus tapers off, concentration of effort and resources will be placed on improving the existing structures and the quality of life on the campus, and the development of new or non-traditional programs to meet the changing needs of its population as well as maintenance and redevelopment of existing programs.

The President of the University, on taking office in 1970, commissioned a report on the future University of Massachusetts. This year the Chancellor of the Amherst Campus has appointed a Commission on Missions and Goals to bring the needs and resources of the Amherst Campus into focus for the coming years.

HISTORY OF THE LIBRARY

No library was established in the first two decades of Massachusetts Agricultural College, although literary societies had their own collections, and an offer was made by Amherst College in 1877 of use of its then less than 20,000 volume library. (This, incidentally, may be the first recorded evidence of Valley library cooperation.) By 1875 a library collection of 500 volumes had been accumulated.

In 1885 the Chapel was dedicated as a chapel and library, and Henry Hill Goodell, who was one of the four founding faculty members and seventh president of the College, also served as its first librarian. 3,200 volumes, primarily scientific and agricultural works, were moved into the Chapel. Old Chapel still stands near the new University Library building.

The archival records reveal that in 1890 the library increased its hours of opening to nine a week; by 1907 the collection numbered 28,000 volumes and the library had inadequate shelving and almost no study space. Despite periodic and ardent pleas to the legislature, it was not until late in 1935 that Goodell Library was dedicated, designed to hold 150,000 volumes. By that time, the collection had broadened in scope to support the wider range of programs on the campus. An addition to Goodell was completed in 1960, enlarging its capacity to 460,000 volumes.

The growth of the University in the 1960's clearly called for a new library facility. Planning began in 1965, and ground was broken

for what is now the world's tallest library[2] on April 28, 1969. This 28-story structure, completed in 1973, has an immediate capacity of 1.5 million volumes and a potential capacity of 2.5 million, with seating space for 3,000. The University Library houses primarily the collections for the humanities and social sciences; the UMASS/Amherst Library system also provides service through two major branches, the Biological Sciences Library in the Morrill Science Center and the Physical Sciences Library in the Graduate Research Center, and through reading rooms and audio visual units.[3] Between 1962 and 1972 the collection quadrupled. In 1971 the millionth volume added to the Library collection was presented by the Library staff. At the end of Fiscal Year 1974, the Library had over 1.5 million cataloged items, including 330,803 microforms and 16,222 current periodical and serial subscriptions. The total operating budget for Fiscal Year 1974 was close to $3 million and the staff numbered 182 FTE's: 62 professional and 120 classified state staff.

THE UNIVERSITY TODAY

The University at Amherst provides undergraduate and graduate study in a wide variety of courses. The programs are grouped into the College of Arts and Sciences, the College of Food and Natural Resources, the School of Business Administration, the School of Education, the School of Engineering and the School of Physical Education. About 85 academic programs or majors and 61 advanced degree fields are offered. In addition, departments and programs such as Public Health, Computer and Information Science, foreign area studies, Women's Studies, Black Studies and residential college programs provide cross-disciplinary study. Other non-traditional programs include degree programs through Bachelor's Degree with Individual Concentration, University Without Walls, and the division of Continuing Education. Community outreach programs are administered on the campus, such as the Community Arts Council and University Year for Action.

Of the 23,000 students on campus, about 3,000 are graduate students. The faculty numbers about 1,485, maintaining a desired ratio of about 15 to 1 of student to faculty. The professional staff numbers about 838 and the support staff on the campus is about 3,187.[4] Building on the campus has virtually been completed; renovation of older buildings is being done as money is available.

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[2] Guiness Book of Records, 1974.

[3] Audio visual services became part of the Library in 1972.

[4] Figures taken from Fiscal Year 1975 Operating Budget Summary, UMA Campus, December 1974, p. A-22.

The University's fiscal autonomy provides for major decisions to be made by the Board of Trustees, appointed by the Governor. The President's Office coordinates the three campuses, and each campus has its own Chancellor. For the Amherst campus, a detailed document has been published outlining the areas of concern and governance procedures for the Faculty Senate, the Graduate Student Senate, the Undergraduate Student Student Senate, and the Professional Association of UMass/Amherst. Portions of the University staff are also represented by the MSEA and AFSCME as recognized bargaining agents.

All budgeting and personnel decisions are made through central administrative channels, with final responsibility vested in the Board of Trustees. The FY'75 budget for the Amherst campus is $87,025,164[5], with $3,176,700 for the Library.[6] The University has been developing a programmed budgeting program, and budget programs originate at the School or Department level. The Library's budget cycle begins in May for the fiscal year beginning 14 months later.

THE LIBRARY TODAY: The operation of the Library in the framework of the University.

Prior to 1966 the University Librarian served as the chief administrator of the Library, reporting to the President of the University. With the expansion and reorganization of the University's operations, in 1966 a new position was created, the Director of Libraries, who became the chief administrator of the University of Massachusetts/ Amherst Library; the Director of Libraries reports to the Chancellor of the Amherst campus. The Amherst campus Library served as a starting point for the libraries at Boston and Worcester; each campus now has its own Chancellor, its own administration and its own library system. The University system is coordinated through the President of the University's office in Boston.

On the Amherst campus the Director of Libraries reports to the Chancellor through the Vice Chancellor for Academic Affairs, participates in the Deans Council and is an ex-officio member of the Faculty Senate. The Faculty Senate Library Committee, which includes faculty and students, is charged with recommending to the Senate policies for "the development of libraries which serve academic and research needs, and the operation of the main library."[7] The Committee meets regularly with the Library administration and advises on policies and planning. Advice on collections is provided by faculty liaison officers from academic departments. The branch libraries have library advisory committees made up of representatives from the departments principally served by those libraries.

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[5]Document T75-017, p. A-7, Total 1975 minus non-state student affairs.

[6]Document T75-017, Table 4, Total plus $1,063,000 acquisitions.

[7]Senate By-Laws, 6-9-1.

Within the Library itself, the Director of Libraries, the Associate Directors, and the Business and Personnel Manager comprise the Executive Committee. The Personnel Committee, the composition of which is voted on annually by the professional staff, currently consists of the Associate Directors, with the Business and Personnel Manager and Affirmative Action Officer as non-voting members. The Director also meets regularly with the Administrative Staff, composed of department heads and administrative staff. (Attachment B-Organization Chart)

Professional librarians have academic status, privileges and rights, with Librarian ranks and titles. Seven of the professional staff are non-librarians, serving in administrative or technical positions. All professional staff are eligible for sabbatical leaves and are on a twelve month calendar with annual performance reviews, and are eligible for multi-year contracts. Librarians may vote for and serve as Faculty Senators. In accordance with University policy, each year the professional staff votes on whether to have a Personnel Committee, and on its composition, and whether to maintain its elected Personnel Policy Committee. A Grievance Committee is elected by the Professional staff.

The staff is composed of 62 professional and 120 classified staff; for the latter the classifications are parallel to other statewide civil service titles, salaries, benefits and job descriptions. and persons receive tenure after 6 months. These positions are overseen by the State Bureau of Personnel and the University Personnel Office. No pre-professional or paraprofessional ranks exist. Student staff is heavily utilized, primarily in Public Services areas such as Circulation and Stack Maintenance.

The main Library and its branches are all open stack libraries. Because of the use of automated procedures in the materials selection, acquisitions and processing areas in recent years, it has been possible to gradually allocate more positions to the Public Services areas, and expand user services, e.g., a program of student orientation. An automated circulation system began operation in June 1974. Individual study carrels are available on a wide scale in the new building, and space was provided for the first time for microforms and related equipment.

The Library has never been able to purchase rare books or expensive, highly specialized collections; it does, however, provide adequate treatment and handling to those rare and specialized materials which are in its possession. Considerable material is collected in Latin American Studies, local and state history, the University Library Archives, and the Library is a depository Library for U.S. Documents. The University is the home of the papers of W.E.B. Dubois, which are now being treated for preservation and will be arranged for

use in the next few years. The Library's major strength has been in the area of automation, with an on-line acquisitions system six years old, a catalog card production system five years old, the ability to utilize MARC tapes for selection and processing, and an automated serials project now under way. Design and programming are done by Library staff, with processing done through the University's administrative computer facilities.

With dwindling book budgets on the horizon, cooperation among libraries and the continued careful allocation of space and personnel will probably be the guiding principles for the Library.

THE LIBRARY'S COOPERATIVE RELATIONSHIPS AND SERVICES

The Library serves as the center for the Massachusetts Centralized Library Processing project, also known as BCL, which processes materials for all 31 institutions of public higher education in the Commonwealth purchased with funds especially appropriated through the Board of Higher Education by the Legislature. The project relies heavily on automated procedures and handles large blocks of purchases such as retrospective serial sets and microfilm, as well as individual current monographs and specialized library materials selected by each institution's library. The Director of Libraries meets regularly with the other chief librarians to plan and administer the statewide project.

The University of Massachusetts is a member of the Greater Boston Consortium of Academic and Research Libraries along with Boston College, Boston Public Library, Boston University, Brandeis University, Massachusetts Institute of Technology, Massachusetts State Library, Northeastern University, Tufts University and Wellesley College. The purpose of the Consortium is to share existing resources to greater advantage and to provide greater access to joint holdings; to increase research resources through coordinating acquisitions programs and through cooperative acquisitions; to strengthen existing resources and services through joint application for government and private funds; and to exchange information.

The Consortium has several projects already underway. It has received a $25,000 grant to produce a union list of serials, and the preliminary edition was published in July 1975. Graduate students and faculty members of the Consortium institutions now have direct borrowing privileges at all the other libraries according to rules and regulations of the lending library. For a year's trial period each institution will provide photocopied material free to Consortium member institutions, and the traditional interlibrary loan service has been enhanced by a courier delivery system.

Three standing committees are appointed by the Board of Directors of the Consortium each year. The committees, Reader's Services,

Selection/Acquisition, and Cataloging, are composed of at least one member from each institution, meeting to discuss matters of interest within these areas.

The University Library has participated for a number of years with other libraries in the Pioneer Valley to provide better service for the university community. The college libraries of Amherst, Hampshire, Mount Holyoke and Smith and Forbes Library, the public library in Northampton, provide reciprocal borrowing privileges and interlibrary loan services for all users, facilitated by a daily messenger service and a union list of serials holdings. The Hampshire Inter-Library Center, HILC, acts as a depository for specialized serial holdings for the four college libraries and the University.

HILC was incorporated in 1951 for the purpose of providing a jointly-owned research collection to supplement the holdings of the participating institutions. The Center is governed by a Board of Directors composed of the president, the librarian, and one faculty member from each institution. The three original members, Smith, Amherst and Mount Holyoke were joined by the University in 1954, by Forbes Library of Northampton in 1962, and by Hampshire College in 1970. HILC's holdings are concentrated on important but infrequently used publications and on serials and sets rather than on monographs. Anyone may use material at the Center. Faculty and graduate students of member institutions may borrow in person or use inter-library loan services while undergraduates must use inter-library loan. Catalog cards for HILC holdings are distributed to all member institutions and filed in their public catalogs.

Another example of cooperation in the five college area is the series of meetings known as the Five College Library Lecture Series held for the benefit of professional staff members in the valley.

TRENDS IN HIGHER EDUCATION AND THEIR IMPACT ON THE UNIVERSITY AND UNIVERSITY LIBRARY

The University of Massachusetts/Amherst and its Library must respond to the changing needs of its community. The following is an analysis of generally recognized trends in higher education, and some views of the Study Team on how the Library can recognize and respond to the evolving requirements brought about by these trends.

There has been a marked change in the general trends of education from the 1960s to the 1970s. The vast expansion of higher education which was the hallmark of the sixties gave way to a slower level of growth in the current decade. A developing need for new kinds of educational programs and degrees has emerged: a need to make higher education broadly and equitably available. This led

to a change in emphasis to teaching, rather than research as had been the case. At the University an attempt is being made to cope with the changing nature of learning through the development of new kinds of educational programs and degrees. Student evaluation of courses has been initiated, and video-taping is being used as part of a new clinic for the improvement of university teaching. The University is also attempting to meet the needs of older, off-campus and non-traditional students, through the Division of Continuing Education, and University Without Walls; it has probed the concept of an "open university" and has been seeking ways to enhance cooperation between the public and private higher educational institutions. A major review of the University's graduate programs to identify those weaker programs where consolidation or strengthening is appropriate and to propose allocations of students and resources under an assumption of stable enrollment levels is under way.

The Library must also seek to encompass these objectives and to provide service to all students, by developing both the traditional and computer assisted services into system-wide facilities, applying new technology to its procedures, and creating expanded relationships in these areas with other institutions of higher learning throughout the state and region. There is also a need to enlarge its collections, through acquisitions of printed materials and the expansion of both microform and audio-visual services to meet the changing developments and demands, and to contribute substantively to the university's changing role in instruction, research and community service.

The 1967 Board of Higher Education projections, which served as the master planning framework for higher education, assumed that the percentage of young people attending college would continue to increase rapidly during the '70's, and predicted that just under 10% of these students (50,000) would be attending U/Mass. This trend has changed dramatically and the projection of students attending college has declined. Therefore the decision was made to level off enrollment at UMass/Amherst at approximately 25,000 students. The change in growth has also slowed the rapid growth of the graduate school, and it is now anticipated that graduate enrollment will be a stable or decreasing proportion of University enrollment, at least for the next three to five years.

The University has replied to the demands for curriculum changes for the increasingly heterogeneous mix of people attending college through such programs as BDIC (Bachelor's Degree with Individual Concentration), the CCEBS (Collegiate Committee for the Education of Black Students) program, University Without Walls, and the University Year for Action, permitting students to design their own individual program of study and to work with various agencies

in the Commonwealth for credits toward a degree. Because of the decreasing emphasis on research, programs of instruction are being revised to serve different mixes of individuals and to make use of new instructional approaches and materials.

It is the implied responsibility of the library to attempt to serve these individual students, both on and off campus, through increased inter-institutional cooperation and expanded relationships with other institutions of higher education throughout the state and region. The Library's resources must support these new academic programs and complement the new approaches to instruction and research which are being developed.

The University sees effective educational innovation as one of its major concerns. Toward this end, it must find the money and the faculty time for curriculum development, for more intensive academic counseling, for special small classes and for the extra supervision required for independent study and field work. There is also a need to involve faculty and students in major decisions on the character of the University's educational program and the conditions of academic life. This need for involvement may lead to collective bargaining for faculty as a means of protecting faculty rights and increasing faculty influence on decision-making. Likewise, in the library functions, there is a continuing need for a highly skilled and motivated staff, and the Library will need to train and recruit staff in subject areas, as well as in the fields of technology and administration, to meet the demands of increased technology and complex computerized systems.

Because of growing financial crises, the cost of operation and capital development at the University are increasing more rapidly than income from public and private sources, and there are real limitations on the ability of institutions to meet growing deficits by increasing tuition and fee charges to students. Library costs are also increasing rapidly. Changes will have to be made in the objectives of research libraries, as well as in scope of their collections, services, organizations and staffing, financial planning and control, and relationships with other institutions. The University's budget is tight and formula-related to enrollment and there is major emphasis on bringing in new money from sources other than state appropriations. Increasing proportions of funds from federal agencies and foundations are used by the University. Since 1970, the annual increases of budget requests submitted by the campuses have been reduced significantly.

As the state's economy has shifted from agriculture to advanced industry, so has much of the University's research effort. There has been more emphasis placed on programs such as the Polymer Science and Engineering Program, which is considered the strongest in the world.

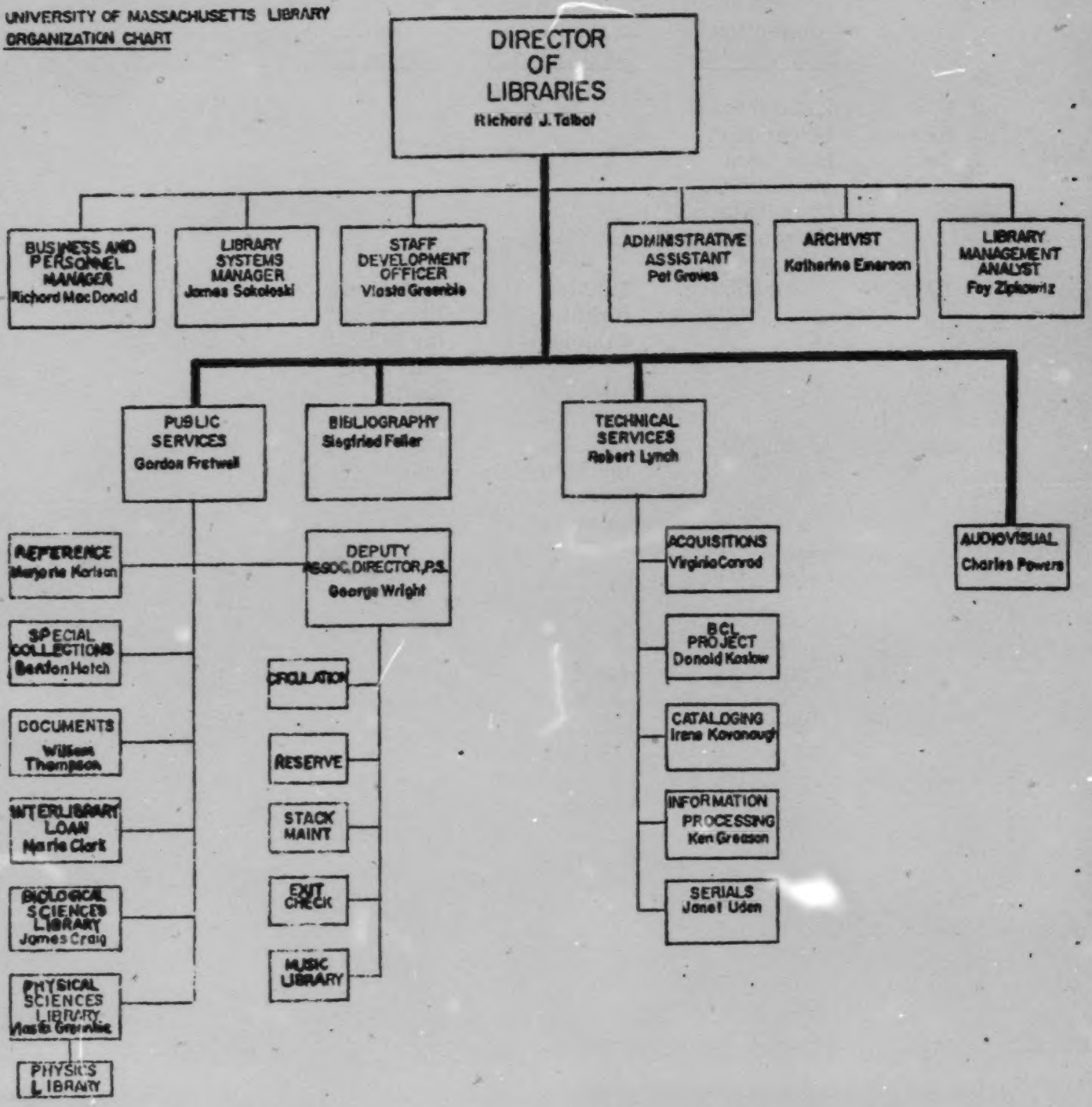
The Library also made great strides toward meeting the membership criteria of the Association of Research Libraries; however, regular institutional funds for books are insufficient, and continued appropriations for this program will be needed over the next several years. This need is supported by the results of a faculty survey several years ago indicating a higher budgetary priority to the acquisition of books for the Library than to any other University need. Already mentioned are some of the ways in which the Library and the University are attempting to meet these changing trends in research, and certainly these efforts should be continued.

An Overview of the Growth of the University and the Library

	Collections No. Vols.	Expenditures Total Library	Staff Total Lib.	Enrollment
1871 (the first class)	1,000 ("the larger part have been presented... by private citizens.")	*	0	107
1900	21,655	$150 (not including salaries)	"a trained librarian;" (by 1920, 5 full-time staff)	149
1931	91,302	$20,286 (probably includes salaries)	6	1,141
1947	146,060	*	9 plus students	2,407 (plus 1,763 at Ft. Devens)
1953/54	200,000	$75,000	15	4,000
1963/64	350,000	$500,000	83	10,000
1973/74	1,500,000	2.9 million dollars	182	23,000

*figures not known

UNIVERSITY OF MASSACHUSETTS LIBRARY
ORGANIZATION CHART



JULY, 1974

CHAPTER II

THE MISSION AND GOALS OF THE LIBRARY

GOALS OF THE UNIVERSITY

The University of Massachusetts does not have a recent written statement of gaols or mission; the Chancellor of the Amherst campus has announced his intention to appoint a commission on goals which will attempt to codify them for this campus. The following statement is exerpted from the Report on The Future University of Massachusetts, 1971, p. S2:

"Five key concepts summarize our recommendations for the University of Massachusetts:

Accessibility to able students of all income levels, races, national backgrounds, and ages.

Diversity of academic program, and of place and time of learning, to make the University truly responsive to the needs of students and society.

Undergraduate teaching as a special priority, coupled with re-examination of how best to achieve this priority while sustaining the vital research and graduate teaching functions of the University.

Service to the public beyond the enrolled student body, including continuing education and application of the University's faculty and student resources to assist in the solution of perplexing problems of public and social policy.

Productivity in the use of resources, to see that scarce funds produce the greatest educational results, with special emphasis on new approaches to cooperation and coordination between public and private colleges and universities, and among public institutions of higher education."

GOALS OF THE LIBRARY

From a statement prepared by the Director of Libraries for MRAP on October 9, 1974, a possible statement of goals might include:

Mission: The mission of the Library is to provide appropriate support for the instructional, research, and public services of the University of Massachusetts at Amherst.

Overall Objectives:

1. To efficiently select and acquire as much of recorded knowledge in whatever form, as is consistent with the current and anticipated instructional and research needs of the University.

2. To make the collections available to users while at the same time preserving materials for the future.

3. To interpret the collection to users, to assist them in utilizing the resources of the Library, and in obtaining access to needed information located elsewhere.

4. To cooperate with other libraries and information centers to promote the effective utilization of resources.

5. To develop better ways of providing library resources and services based upon the scientific analysis of user needs and the economical application of new technologies.

6. To hire and train staff who will possess or learn the skills and knowledge needed to provide appropriate service.

RELATIONSHIP OF LIBRARY TO UNIVERSITY GOALS

Through the information provided by administrative channels and the advice provided by the Faculty Senate Library Committee, the Library tries to meet the assumed obligations and general goals undertaken by the University. The Study Team has tried to present an analysis of trends in higher education and their implications for the Library, which appears in Chapter I, and further analysis of support of University goals will depend on the recommendations of the Chancellor's Commission on Goals.

The goals of the Library also encompass cooperative efforts, as outlined in #4 of the goals statement above. The purposes and impact on the Library of several cooperative activities are also included in Chapter I.

GOAL SETTING IN THE LIBRARY

Formal goal setting procedures have been undertaken in the Library in the past two years. During the summer of 1974, nine department heads responded to a request for formal written goals statements and many of them have reported on their progress as part of their monthly reports. Technical Services department heads have all participated in the process. Within Public Services, the Reference Department has already participated in formal goal setting and updating; last year Public Services was reorganized into several units, and these units are now becoming involved in a formal process. The Audio Visual Department has made a goals statement part of its annual report, and reported on progress through its regular monthly report. The personnel and staff developemnt areas have also provided goals statements this year. The staff generally is not familiar with the process of goal setting, and will need some orientation and feedback to become involved.

CHAPTER III

PLANNING

I. PRESENT PLANNING

A. University Planning

The University does not have a central, overall planning unit in a functional sense. The Board of Trustees, which under law is the sole statutory source for the decision-making process for the University has its Long-Range Planning Committee, which interacts with the Multi-campus Planning and Budget Committees as well as various committees at campus level.

On the Amherst campus, the Planning Office is concerned with space and physical planning, the Office of Budget and Institutional Studies is concerned with fiscal and statistical planning, and academic planning, which is not centralized, is the responsibility of the schools and their departments, coordinated through the Vice-Chancellor's and Chancellor's offices. Overall, planning may be characterized as "serious on an ad-hoc basis."

Presenting requirements to the legislature generally requires three to five-year long range plans; usually specific dates for completion of plans are less essential than an overall sequence of the desired accomplishments.

University policy is to:

1. Evaluate all alternatives within campus resources and campus needs.
2. Justify requests and set priorities.
3. Determine short and long range alternatives.
4. Force decision making by selecting and pressing for adoption of one of the options.

The only documents available which resemble planning documents are:

1. The Report of the President's Committee on the Future University of Massachusetts (December 1971)
2. Directions for the Seventies; A report of the Faculty Senate Long Range Planning Committee, September 1970

3. A five year academic plan - which includes faculty plans, teaching loads and enrollment.
4. Land use plan, designed several years ago by the architectural firm of Sasaki, Dawson and DeMay.

The Chancellor of the Amherst campus has recently announced his intention of appointing a Commission on Goals for this campus, to update these documents and provide direction and objectives for the campus now that the growth period is essentially over.

B. Library Planning

Formal Library planning is not a centralized activity, although several steps in that direction have been taken. The process of formal planning was researched at length in 1973-74 by a designated Planning Officer (see attached report), and a major effort to establish and coordinate goals and objectives at the departmental, divisional and Library level has begun. Planning does take place in an organic way, at the operating levels, within the Library; a continuous dialogue goes on concerning eventualities and crises at the same time short term or operational decisions are made.

The Library staff, particularly Reference and Bibliography, works with school and departmental liaison persons on meeting new and changed curriculum needs, and on providing instruction and bibliographic guidance in specific subject areas.

The Library's major obligation is to the University community and its needs, and cooperation with other institutions and libraries is one more way that the Library attempts to meet this obligation. Planning for Consortium efforts, Five College cooperation and the BCL project is done essentially by all the member institutions.

C. Effects of University Planning approach on the Library; interaction

There appears to be basic administrative support for a planning effort in the library and in the university in general. The fragmented nature of planning at the university level and the general ad hoc approach to planning in general does not provide a strong framework or rationale upon which to develop a formal system-wide planning process in the library. The library must set its own goals, and then secure acceptance of them from the Faculty Senate Library Committee, administration, etc.

Most Library planning is reactive to University developments. Without fiscal control, or increased funding, long-range planning is very difficult. Operational, short range planning does go on within departments and divisions. Physical planning does involve the Library, and the Planning Office has worked with the Library on space problems, building needs, etc.

II. ANALYSIS AND EVALUATION OF PLANNING PRACTICES

We have found that a reasonable effort is being expended to plan in the library although the structure of the planning effort is not as formal as might be desirable.

A. Strengths and Weaknesses:

Library planning appears to be largely engaged in responding to contingencies rather than in meeting planned long-term objectives. At present there is no deliberate established procedure to coordinate the implementation of this type of planning or to set priorities or to allocate resources on a system wide basis. Experience gained in an experimental planning effort during the past year has provided some valuable lessons. These demonstrated the difficulties in developing formal system wide effort in planning, such as:

1. The general piecemeal approach taken to planning at the University level.

2. Systematic overall Library planning occurs in budgetary matters only.

3. Lack of specialized planning skills among the library staff.

4. Lack of understanding of the planning process by the library staff in general.

B. Existing Constraints

In developing more formal and systematic planning within the Library the following constraints should be recognized and compensated for:

1. Insufficient training and experience of the administrative staff in planning.

2. Lack of organized and meaningful statistical data which could be used both internally and externally as a basis for planning.

3. Procedures established outside the library with which the library planning could interact. The library at this stage has to operate within itself and cannot depend on any systematic planning within the University.

III. RECOMMENDATIONS

A. Long range planning

Responsibility for long range Library planning rests with the Director of Libraries, who also acts as the direct link between the Library and the University; however, there is a need for a centralized, formal planning effort, and given the inextricability of the budget from planning, the Task Force recommends that the Director of Libraries should assign responsibility to a coordinating officer for all planning efforts.

We further recommend establishing a Planning Council, chaired by the Planning Coordinator. This Council would consist of the Associate Directors, the Head of Systems, the Budget Officer and two other professional staff members not necessarily of administrative level. The latter would serve two year terms. The Council would provide guidelines for standardizing and collecting the data necessary to the planning effort, and would be responsible for the documentation of planning efforts, and coordinating the methods of reporting of statistical information.

B. Short range or operational planning

The Task Force recommends continuing the effort of goal setting and standardizing it on the operational level. The Planning Council should provide standards and procedural guidelines for the specific areas concerned; in addition the Council should formulate a systematic training program for all staff in the planning process, including the setting of performance and operational goals within their own areas. A timetable for developing, reporting and reviewing the goals should be established and monitored by the Council.

Planning Task Force:

Nancy Bates
Laurence Feldman
Vlasta Greenbie
Donold Koslow
Fay Zipkowitz, Chairperson

CHAPTER IV

POLICY FORMULATION

INTRODUCTION

The Policy Formulation Task Force has attempted to distinguish between "policy" and "procedures"; both terms are difficult to define and even more difficult to apply. Our consensus is that "policy" should take on the aspect of generality, and "procedures" the aspect of specificity. We view a "policy" as a statement of stable general principle or intent providing guidelines for decision making, implementation of programs, and meeting objectives, and "procedures" as a series of steps necessary to accomplish the intent of the policy statement.

The Task Force was charged with assessing, and making recommendations concerning, the policy formulation process in the Library, and with identifying the gaps in policy coverage, not with the evaluation of existing policies. To meet that charge the Task Force gathered and examined the existing policies and policy-like statements, except personnel policies. We tried to gauge the availability of information by talking with the staff of the Library and divisional offices, and to assess the knowledge of, and implementation of policies, as well as staff attitudes, by examining the notes of previous task force interviews with administrative staff, and the results of the Needs Assessment Surveys. We have assembled what we hope will be the beginning of a policy manual which could be regularly updated and widely available to the staff. A list of gaps and notebook with existing policy statements has been appended to the original of this report.

THE FORMULATION OF POLICIES

Library policies are generally written in response to a felt need. Most Library policies are formulated by a group of staff members representing departments affected by the policy. In some areas such as cataloging, serials, and microforms, standing committees exist to recommend policies; the Director may also designate ad hoc committees to recommend policies to deal with specific issues. The members of both ad hoc and standing policy-recommending committees are appointed by the Director or his designate.[1]

[1]The only two exceptions are the Personnel Policy Committee and the Grievance Committee, established by analogy with the University governance document and elected by the professional staff or by other Library committees. Personnel policy and grievance issues affecting the classified staff are handled outside the Library.

In the case of policies likely to be of particular concern to users of the Library, the additional advice of the Faculty Senate Library Committee may be requested by the Director. Frequently Library policies which affect all or most of the staff are discussed by the Administrative Council before being issued in final form. Library policies become official upon approval of the Director.

Since policy-recommending committees, except for Personnel Policy and Grievance, are appointed by the Director, it is his responsibility to see that all departments affected by a policy or involved in its implementation are represented. In the past this has not always been the case. There is also very little representation of the classified staff on policy-recommending committees.

Library policies have been issued in a variety of forms; some are without dates, and the framers of policy statements are now listed by name. This practice is helpful in finding supporting information not contained in the written statement and in seeing that the original framers are consulted in the revision process. However, individual staff members change positions within the Library and/or depart, thus reducing the value of such identification; confusion may result on occasion when a staff member tries to analyze or apply a Library policy, particularly an old one.

RECOMMENDATIONS

1. To fill the gaps in existing policy coverage, and establish priorities for new policies, it is recommended that the Director appoint a committee to review the material presented in this report and to recommend areas to be covered by new or revised policy statements.

2. Policies may be recommended by individuals or committees; policy-recommending committees should include a representative of each of the units most directly affected by the policy, or responsible for its implementation, and classified staff where appropriate.

3. Policies should be written broadly enough to encompass the needs of all affected units, and issued in a standard format, including the following:

> The name of the policy, clearly stated; the date the policy becomes effective; the date by which the policy should be reviewed, usually two years from the date it becomes effective, unless the recommending committee or the Director thinks a shorter period of time is better in a given instance; a succinct statement of the policy; the scope of the policy; the supporting procedures organized by division, department or unit, as appropriate; the name of the committee recommending the policy, with titles as well as the names of its members; a statement of the Director's approval; distribution outside the Library, if any; and any necessary background information as an appendix. Any revisions should be documented in the same manner. (See Attachment)

4. A directive should be issued stating who is authorized to issue policy statements, through what media, and what clearance is required for such policy-like statements as answers to Suggestion Box comments and questionnaires.

DISSEMINATION AND AVAILABILITY OF POLICIES

According to the "Policy on Official Policies," the Director's Office has primary responsibility for the distribution of official Library policy. Copies of new policies are distributed to the Executive Committee, the Administrative Staff, and the Director. They are also filed in the official policy notebook in the Library Office.

All department and unit heads therefore receive copies of new policies and are responsible for relaying them to their staff. The Task Force found that official policy notebooks are being maintained in the Public Services and Technical Services Divisions and thus are available to a majority of Library staff members. However, Public Services and Director's staff have members serving in units and departments widely scattered in the main library and other locations on campus, which makes consultation of a policy notebook inconvenient. The Technical Services staff is housed more compactly in a single area of the building, and the divisional policy notebook is readily available. In Bibliography, policies are not filed together in a location easily accessible to the staff. In the Library Office, although most policies are in the official policy notebook and/or policy files, some are only in working files and not easily located for consultation.

New professional staff members are informed of the locations of the policy notebooks in the Library and divisional offices. New policies are sometimes announced in the Library Information Bulletin.

Policies and policy-like statements exist which are not official Library policies in that they are not issued through the Director's Office, but instead are usually drawn up within a division or department for its own use. The pattern of distribution varies with the unit responsible for the policy.

Library policy is disseminated to users through direct distribution, notices in the building, campus and Library publications, answers to personal queries, and written replies to Suggestions Box questions.

Although official policies are distributed in a specified manner, the Task Force survey of the Library and divisional notebooks showed a lack of uniformity in their contents. The Needs Assessment Survey showed that some staff members are not aware of the existence of policies, presumably because department and unit heads do not consistently call the attention of their staff members to new and existing policies.

RECOMMENDATIONS

1. Official policy notebooks should be maintained in the library and divisional offices, each containing all official Library policies and nothing else.

2. Policy distribution should be centralized in the Director's Office.

3. A copy of all policies should be distributed to each divisional secretary, who should be responsible for maintaining the policy notebook in an accessible location in the division. Divisions whose units are widely scattered geographically may wish to establish and maintain policy notebooks in additional locations.

4. New and revised policies should always be announced in the Library Information Bulletin, with a reference to their availability in the divisional notebooks.

5. Department heads should be responsible for orientation of their staffs to all new policies. They should also distribute to their staffs copies of policies directly applicable to their work assignments.

UPDATING AND CHANGING POLICIES

Existing policies are now updated or changed only when it becomes apparent either that an official policy is not being followed, or that a change would be desirable. In the collections of policy statements found in the Library and divisional offices, some policies are obsolete either wholly or in part. The presence of statements that do not represent current practice undermines the value of these files. Some policy statements are missing from each of the "official" files. Because of these two factors it is not clear from the policy files whether a statement found there is the official policy, has been superseded by another, or has become only a partial or an incorrect statement.

RECOMMENDATIONS

1. Every policy should be reviewed within 2 years after issuance and either reaffirmed, revised, or considered expired. Some situations change so frequently that an earlier review date should be set. Each policy statement should contain in the issuing information the date when the policy will expire.

2. The Director's Office should initiate a review of the policy before the expiration date.

Policy Task Force:

Roberta Beverly
Elaine Donoghue
Katherine Emerson
Irene Kavanaugh
Fay Zipkowitz, Chairperson

University of Massachusetts/Amherst
University Library

POLICY ON _____
effective 00/00/00
to be reviewed by 00/00/00

I. Statement of the policy

II. Scope of the policy

III. Supporting procedures

Recommended by _____ (Individual) or Committee: Title (name), Title (name), etc.

Approved by Director of Libraries, (name)

Distribution to standard list and _____, _____.

Revised by _____ (Individual) or Committee: Title (name), Title, (name), etc.

Revision approved by Director of Libraries, (name)

Appendix (optional)

CHAPTER V

BUDGET

INTRODUCTION

The library budget has two major functions: (1) to provide the library with a framework upon which to allocate funds, and (2) to provide the library with guidelines for spending the funds received.

Traditionally, budgets have been based on objects of expenditure and are are referred to as "object and character budgets." In recent years, there has been increased interest among libraries in the planning, programming budgeting system(PPBS), designed to develop a budget based on specific programs of work and measurable performance of this work over a number of years.

THE UNIVERSITY BUDGET

The University of Massachusetts has begun using a form of PPBS. As the plan stands now, various departments will be called upon each year to justify each dollar requested (zero-based budgeting) to prepare for PPBS. It is anticipated that the library will be required to do so in 1978. The Management Review and Analysis Program Budget Task Force has, therefore, looked into PPBS and made its recommendations with preparation for the zero-based budget in mind.

(Although the task force also investigated formula budgeting, it seems to be primarily useful for comparing one library with another, or perhaps in support of a library budget request to the State Legislature).

THE LIBRARY BUDGET

Work on the library budget never really ceases. In May, fourteen months before the beginning of a fiscal year, the Library Director requests needs and plans from the associate directors. There is informal communication on budget matters from department and unit heads to the associate directors, but unless there is a new piece of equipment, need for an increase in staff or a new program anticipated, there is no formal communication on the budget from department heads to the associate directors.

Public Services is the principal user of 03 funds for student staff. Statistics on building use and circulation services are gathered throughout the year to formulate a budget request for staff. The Public Services request is made in terms of library programs--defined by the Associate Director for Public Services as the instruction program, the units of Interlibrary Loan or Documents, for example.

The Associate Director for Technical Services is primarily concerned with the funds for binding, equipment and supplies, including supplies for computer operations of the Library Systems and Information Office. These requests are made in line-item budget form.

The Chief Bibliographer is primarily concerned with the acquisitions budget. In past years, acquisitions funds have been received from seven sources: 1) state special funds (granted by the state legislature); 2) state operating 13 account fund; 3) title II-A grants (Federal government grants); 4) capital outlay funds (funds granted by the legislature for the entire University, to be spent within a certain number of years); 5) land grant funds; 6) trusts and endowments; 7) MCLP Project funds (funds granted to all state institutions of higher education allocated by formula). The University has made an attempt this year to include the acquisitions budget with the personnel and operating requests. This would in effect eliminate the state special but guarantee a certain amount of stability to the acquisitions funds. This attempt is supported by the Office for Budgeting and Institutional Studies according to Barry Solomon, Deputy Director of that office. (Interview 1/17/75)

The library has no direct control over the funds for permanent personnel; all state authorized positions are funded by the state, and money saved by eliminating or combining or not filling a position cannot be transferred to other accounts.

It is the reponsibility of the Library Director and the Library Business Manager to put together the final budget request.

THE BUDGET PROCESS

At the beginning of the budget process time, the University budget office gives the library a target figure, i.e., an increment above or below the budget for the preceding fiscal year. The Business Manager and the Director then make a preliminary preparation of the line items and submit them to the Executive Committee for discussion and revision. The result is then submitted to the University Budget Office.

The following January, six months prior to the start of the fiscal year, the process is repeated, except that this is a final submission rather than a preliminary one.

Ideally, the following June, just prior to the start of the fiscal year, the budget office notifies the library of the final budget and requests any changes that may have to be made prior to implementation. At this time, the Executive Committee meets to see if the final budget as requested is sufficient to support the planned activities and to make necessary adjustments.

The preliminary and final budgets each follow a set course through the University. When the Budget Office receives the library's request, it is reviewed and submitted to the President's Office as part of the Amherst campus request. The President's Office then forwards its request to the Board of Trustees of the University of Massachusetts for approval. At this stage the preliminary request is returned to the campuses; the final request, however, is sent forward to the Board of Higher Education where it becomes part of the entire higher education package for the state.

This package is in turn forwarded to the Office of the Secretary of Education where it is reviewed and submitted to the Governor as part of the state education budget. The Governor reviews this budget as he does the entire state budget, generally through his staff in the Office of Administration and Finance. After they make their recommendations to the Governor, the budget is submitted to the Legislature for action, and is later returned to the Governor for final approval. In January there is an opportunity to request supplemental funds, if budgeted funds are insufficient, through a process of deficiency budgeting.

UNIVERSITY LIBRARY BUDGET TABLES

The following tables are included to show the fluctuations of the library budget.

Table A. Acquisitions

The level of expenditure for the library in its acquisitions program is illustrated in both dollars and percentages.

Year	Expenditure	$Increase or (Decrease) from Previous Year	%Increase or (Decrease) from Previous Year
1972	$1,043,494	----------	----------
1973	814,288	(229,206)	(22%)
1974	897,251	82,963	10%
1975	808,268	(88,983)	(9%)

Table B. Personnel (Permanent)

The last four years have seen only minor changes in the number of positions allocated to the library, but a large increase in the amount of money expended to support these positions. This is due to two factors: the increase in the salaries due to merit, promotion and cost of living increases, and the fact that the Library has recently maintained a much higher percentage of filled positions than it did in the past.

Year	Professional Positions	Classified Positions	Total Salaries	%Increase from Previous Year
1972	57	115	$1,316,498	---
1973	61	122	1,601,045	22%
1974	62	120	1,713,209	7%
1975	62	129	1,798,000	4%

Table C. Personnel (Temporary and Operating)

For budgetary and accounting purposes, these funds are broken down by line item, i.e., the object of expenditure. While each line item has many classifications of expenditure within it, the major items are: temporary personnel, travel, binding and printing, repairs, supplies, administrative services (which include telephone, memberships and postage), equipment, and rentals. The summary of the funds received in all of these accounts for the past four years is shown below.

Year		$Increase or (Decrease) from Previous Year	$Increase or (Decrease) from Previous Year
1972	$230,700	-------	---
1973	214,011	($16,689)	(7%)
1974	302,584	88,573	41%
1975	319,673	17,089	6%

RECOMMENDATIONS

The Budget Task Force has conducted interviews and investigated material on budget systems guided by the five principles for budgeting from the MBAP Manual. Our findings and recommendations are based on the principles suggested in the MBAP Manual and on the need to prepare for zero-based budgeting in 1978.

The library budget should comply with and build upon university administrative requirements.

The Library administration meets all the requirements and deadlines of the Office for Budgeting and Institutional Studies. Budgets should reflect objectives and goals of the library. The Library administration needs to define the objectives and goals of the library. Although departments were requested to submit goals and objectives to the Library Office by August, 1974, not all departments complied, nor has there been an attempt to coordinate and consolidate the reports submitted. Some departments make an attempt to report on progress within a monthly report.

The Task Force recommends that the collection of goals and objectives, their codification and continuous reporting by departments become a top priority. Well defined goals are necessary for budget planning. Further, there should be a list of projects based on contributions from each department in priority order. This list would facilitate short-range planning; improve relations among departments, since all members would know about priorities; reduce occasions for crisis management; and facilitate budget preparation.

The formulation of budgets should involve the appropriate people and fiscal responsibility should be clearly assigned.

The Library budget is constructed by the Executive Committee. No formal communications are required from the department heads except in unusual circumstances as outlined above. The Business Manager is responsible for complying with the University Budget Office and maintaining fiscal records. The Task Force recommends better communication with the staff, particularly with department heads, on budget matters. The Library staff should be better informed about budget information available to them. Monthly reports and special notices to the entire staff, particularly during a budget crisis, are recommended. With cutbacks in funds inevitable, the Library administration can best be supported by a staff fully informed about budget decisions.

Formulation of library budgets should employ management techniques that best help the library meet its objectives.

The Task Force recommends that the Library prepare for zero based budgeting, possible in 1978, in the following ways: (1) training in budget preparation and analysis for the Associate Directors and Budget Officer in whatever system the University will be using (currently PPBS); (2) creating a more systematic budget process within the Library by facilitating department head involvement; (3) placing responsibility for data gathering (the Library cost study, cost analyses of programs consisting of start-up and operating costs, surveys and routine statistical reports) on one individual. One member of the Task Force also recommends a Library-wide committee composed of those with interest and/or expertise in data gathering to advise on kinds of data needed.

Budgets should be used to control library expenditures.

The Library budget is obviously a major concern of the present Library administration. There is excellent communication between the Library Director and the Business Manager and Library funds are carefully monitored. The Task Force recommends that this communication and care be continued.

Budget Task Force:

Gerald Chang
Kenneth Greason
Richard MacDonald
Jean Scanlan, Chairperson

CHAPTER VI

MANAGEMENT INFORMATION SYSTEMS

INTRODUCTION

Management information provides the basis for planning and decision making. The information should be accurate, specific in nature, and contain pertinent data and facts. The management information system in the University of Massachusetts/Amherst Library should:

1. coordinate existing information;
2. develop new sources of information as needed;
3. strengthen the existing resources and systems;
4. satisfy operational needs of library management;
5. establish a mechanism for future planning requirements; and
6. adapt to the changing library environment.

Management information should also provide a mechanism for the Library to respond to changes in user needs.

The concept of libraries is changing. Rising costs and problems involved with more complex information are requiring a greater emphasis on access to information rather than acquiring materials. It is unlikely that funds will be available in the future for additional personnel, but there are growing pressures for expanded and increased services. As the environment changes, the focus of library management also changes and there is greater need to have a management information system that will respond through advanced computer technology, better communication links between and among libraries, innovative approaches to access to information, and increased library cooperation.

The Management Information Systems Task Force attempted to determine what information is needed, by whom, and for what reason; and whether existing information is known to exist, is pertinent and useful, and is easily accessible. In addition, the Task Force attempted to discover whether there are needs for information that is not presently being collected. To carry out this task the Division Heads were interviewed, and a series of briefer interviews was conducted with all Department and Unit Heads. No formal interviews

were conducted below that level. A preliminary report was then presented to the Director, summarizing the initial findings, and the Director was interviewed. The Director's answers to questions and comments on specific areas set the general direction for further study and recommendations by the Task Force.

In examining the present system, the Task Force discovered many strengths: the Director is keenly aware of the changing environment and is striving to respond; the Library staff receives a good flow of information from the Director; there appears to be a climate of responsiveness to user and management problems; good operating information is available; computer applications are well established and expanding; and library cooperation is being emphasized. There is a good system of collecting information on a monthly basis, and the monthly reports are available to staff members in the Library Office. In addition, other information is generally available, such as automated systems reports, procedural manuals (mostly in process), official Library policies and procedures, and personnel information. Therefore, the Task Force concluded that the basic management information system should not be radically changed, but that specific elements should be added and some procedural changes should be made, based on the expressed needs and requirements of those interviewed. The remainder of this report deals with the particular areas in which problems were specified and in which we wish to make recommendations.

GENERAL FLOW OF INFORMATION

The flow of information which culminates in the monthly reports to the Director does not proceed in a uniform or consistent manner. Each division treats the information it gathers and reports in its own unique way. Some departmental reports are circulated among the staff of the department, but most are not. Some departmental reports are circulated among other department heads in the division, but not all. One Division Head submits all reports from the departments to the Director; another one submits a summary of the narrative information and forwards only the statistical reports; and a third has a small division and does not have an elaborate reporting system. In a similar vein, the keeping and disseminating of minutes of regularly scheduled divisional and departmental meetings is inconsistent. Some areas do not produce any minutes, some merely file the minutes, and some distribute them. No system presently exists for coordinating and publishing scheduled meetings and events. In addition, many staff members have no knowledge of what documents and reports currently exist. The Library Information Bulletin does not have current correspondents for information on newsworthy activities in every area. Some departments have produced lists of functions performed and staff members responsible for those functions, but most have not.

RECOMMENDATIONS

1. A monthly budget report should be added to those presently produced.

2. Preparation and distribution of monthly reports should be as follows: Department and Unit Heads should prepare four copies, circulate one copy to the staff of the reporting area, and send three copies to the Division Head. Division Heads should prepare a monthly report in three copies, attach department and unit reports, circulate one set to the administrative staff of the division, and send two copies to the Director. The Director should send one set to the Reference Hold Shelf for the staff to examine and retain the final set as the official file copy.

3. The Director should publish a monthly summary report of significant Library activities to the staff, including pertinent statistics.

4. Brief minutes should be kept of Executive Committee, Administrative Council and Division meetings. The minutes should be distributed to participants, with an information copy circulated to the administrative staff outside the reporting division and an information copy sent to the Director.

5. A Library Master Calendar should be created for recording meetings, official events, due date for reports, etc.

6. A master list should be created showing what documents and reports exist, including a description, who creates them, how often, where they go, where they are filed, and who has access. The list should be up-dated periodically.

7. Each reporting unit should appoint a staff member to be responsible for supplying pertinent information for publication in the Library Information Bulletin.

8. Each reporting unit should publish a list of functions performed and the name of the staff member primarily responsible for each function. Lists should be updated periodically.

9. Administrative staff members should be responsible for reporting information to the members of their respective units.

INFORMATION TO AND FROM THE BRANCH LIBRARIES

Each branch library is a microcosm of most of the activities and problems of the library system in general. Each has the unique added constraint of physical remoteness from the main body of the

library and the library staff. That remoteness is exacerbated by certain deficiencies in the campus and library mail delivery systems which often result in the lack of timeliness in the communication of management information. Additionally, branch library staff do not spend time in the main library on any regularly scheduled basis, which might permit them to forge closer ties to the main library staff.

RECOMMENDATIONS

1. Branch library staff members should be assigned to the main library on a regularly scheduled basis, and staff members from the main library should be assigned to the branch libraries during the same periods of time.

2. Improvements should be effected in the mail delivery system to insure reliable, timely delivery.

COLLECTION OF STATISTICS

Statistics are presently collected within each department and unit and passed on to the Division Heads and the Director in the monthly reports. There appears to be some disparity in the way statistics are collected which may make them less useful in certain instances, for instance in the way serial publications are counted.

RECOMMENDATION

A specially constituted committee appointed by the Director should closely examine the collection of statistics and make recommendations about what and how statistics are kept and their frequency, so as to derive the maximum usefulness from this data.

FEEDBACK FROM SYSTEMS DEPARTMENT

Presently forms exist in Systems for formally requesting various types of program runs and systems changes for computer processing, but the mechanism whereby information on the status of a particular request is fed back to the requestor does not operate with any degree of regularity. The completeness of the response and the speed with which it is obtained depends in large part on how closely the requestor is working with the programmer involved.

RECOMMENDATIONS

1. Forms for special run and systems changes requests should be redesigned in order to supply more complete information to the requestor, and a formal mechanism should be set up for insuring that the requestor is kept informed of action being taken.

Such response should include, as appropriate,

a. confirmation of requested date,

b. delayed completion date with explanation,

c. suggested modifications of request,

d. denial of request with explanation.

2. The Library staff should be kept up to date on new programs being developed and implemented. The Systems staff should recommend a mechanism for implementation to the Director.

PERSONNEL MANUAL

No Library Personnel Manual for supervisory staff presently exists. The University has recently published its own Personnel Manual.

RECOMMENDATION

The Personnel staff should compile a manual which would outline applicable policy, procedures, and guidelines, in the most comprehensive manner consistent with getting that manual distributed to all members of the supervisory staff by May 1, 1976.

STAFF DEVELOPMENT

There is a Staff Development Committee which makes an annual report in May, and in addition the Staff Development Officer makes an annual report. However, there seem to be many questions about what is being done in the area of staff development, and suggestions that activities be coordinated.

RECOMMENDATION

A quarterly summary or mid-year report by the Staff Development Officer should be published in the Library Information Bulletin.

BUDGET

The budget system appears to be an area of concern to the library management. Library budget allocations are unavailable until after the beginning of the fiscal year; the source of budget financing varies from year to year; budget allocations do not generally reflect the departmental goals and objectives; and budget information, including analysis and variations, is not readily available for management purposes on a monthly basis.

RECOMMENDATIONS

1. The Budget Officer should prepare a brief monthly report, including statistical summary and analytical narrative.

2. Where pertinent, Library goals and objectives should reflect the budget information and should also contain some cost analysis figures.

3. Analysis of the Library's financial condition as it compares to similar institutions should continue, and should contain relevant cost figures for use in short and long range planning purposes.

CRITICAL PERFORMANCE MEASUREMENTS

At the present time the Library does not collect critical performance measurements for all areas that quantitatively measure and evaluate the work flow or performance, and those collected are not uniformly reported. Actual performance measurements will become more and more significant due to the changing role of the library. It is very important to have these statistical summaries to establish priorities and justify expenditures.

RECOMMENDATIONS

1. The Director should name a person or committee to work with the administrative staff to identify, collect, collate and analyze critical performance measurements by department, division and the overall Library.

2. Critical performance measurements should be reported on as necessary in monthly and annual reports.

FEEDBACK ON MAINTENANCE REQUESTS

Information concerning maintenance requests does not appear to be flowing back to the requestor in any consistent fashion. External constraints create an added impediment to the process.

RECOMMENDATION

A formal mechanism should be set up to inform the requestor of the action taken on a maintenance request as soon as possible. The mechanism should include a system of follow-up, so that up-dated information can be relayed to the requestor on a timely basis.

Management Information Systems Task Force:

Gordon Fretwell
Pat Graves
John James
Elizabeth Mahan
Martin Smith, Chairperson

CHAPTER VII

ORGANIZATION

INTRODUCTION

The Library's organizational structure is intended to serve as a framework through which the library staff works together to achieve the objectives and goals of the Library and the University. First and foremost, the organization should facilitate effective response to university information needs and should emphasize service to users. In addition, the organization should be clearly defined, flexible, and well understood and accepted by the staff. The organization design should facilitate the best use of resources--personnel, funds and materials.

Using these principles as a guide, the MRAP Task Force on Organization studied the present organization of the University of Massachusetts/Amherst Libraries and the organizational relationship to the University. In an attempt to analyze organizational effectiveness, the Task Force members reviewed MRAP materials, gathered University and Library documents, interviewed selected staff members, analyzed the Needs Assessment Survey and the Likert Profile of Organizational Characteristics and met and discussed our various findings. The description, analysis, and recommendations that follow are not exhaustive, but are intended to highlight some of the strengths and weaknesses of the organization of the library.

LIBRARY ORGANIZATION AND THE UNIVERSITY

The Director of Libraries on the Amherst campus of the University of Massachusetts reports to the Chancellor through the Vice Chancellor for Academic Affairs and Provost and works closely with the Dean of the Graduate School, who is Associate Provost. The Director serves as a member of the Deans' Council and is an ex-officio member of the Faculty Senate. The professional librarians are included in a senatorial district which elects four voting representatives to the Faculty Senate.

The Trustee Document on University Governance (T73-098) published in 1973 states that "the faculty will exercise primary responsibility in such academic matters as curriculum,..., libraries, and other aspects of University life which relate to the educational process."

According to the By-Laws of the Faculty Senate, the Faculty Senate Library Committee, which included 13 faculty, 2 undergraduate students, 2 graduate students, and, ex-officio, the Director of Libraries and the Dean of the Graduate School, advises the Director on policies for the development and operation of libraries which serve academic and research needs.

The Library has recently become involved in University-wide academic program reviews through the Graduate Program Review and Academic Program Review Committees, and has an advisory role to the Academic Matters Council. Also, advice on collection development is provided by faculty liaison officers from each academic department. The two science branch libraries each have a library advisory committee made up of representatives from the departments principally served by that library. A number of libraries and other information sources exist outside the library. (Attachment A)

ORGANIZATION WITHIN THE LIBRARY

The University of Massachusetts/Amherst Library has an organizational structure with three divisions headed by Associate Directors who report to the Director. In addition, there are other staff members and units which report to the Director. (cf Attachment B; Chapter I, Attachment B)

The largest division, Public Services, is responsible primarily for user contact points, including the branch libraries and reading rooms, and at the main library, reference, documents, interlibrary loan, circulation, reserve, stack maintenance, AV reserve, current periodicals, and special collections. Two services are coordinated by the Public Services Office, the Copy Center, operated by the University's Business Office, and the maintenance of the building, staffed by the Physical Plant Department of the University.

Technical Services is responsible for acquiring library materials, cataloging them, and maintaining the card catalogs. The Massachusetts Centralized Library Processing (MCLP) Project, a unit which orders, processes and ships library materials to 31 participating state institutions of higher learning, although a temporary project, reports to the Associate Director for Technical Services. The third division, Bibliography, is responsible for the selection and evaluation of library materials.

The Director's Staff includes the Business and Personnel Manager, Staff Development Officer, Library Management Analyst, and an Administrative Assistant together with support personnel. In addition, Archives, the Audio Visual department, and the Systems Office, report to the Director.

Recent changes in the organization of the Library have included the shift of the branches from reporting to a Coordinator for Branches to reporting to the Associate Director for Public Services, the assignment of the Archives unit to the Director's Office, the affiliation of MCLP with Technical Services, the inclusion of the Audio Visual department in the Library, and the reorganization of Public Services into smaller units and departments.

Twelve Library committees exist for the purpose of conducting research, providing advice, and formulating and recommending policies according to their specific charges. The Director recently issued a "Policy on Committees" which spelled out both the library-wide committee structure and the library's current participation on a variety of university committees and councils.

Two committees exist to assist the Director of the Libraries in the administration of the Library by providing information and advice and recommending policies and procedures. The Executive Committee which usually meets twice a month consists of the Director, the three Associate Directors and the Business and Personnel Manager. The Executive Committee acts for the Director when he is absent. The Administrative Council which also meets twice a month consists of 25 members of the Library administrative staff and should have a major role in the dissemination of information to and from the staff.

Three committees are voted on annually by the professional staff to deal with professional personnel matters; the Personnel Committee, the Personnel Policy Committee and the Grievance Committee, the latter two of which are elected by the professional staff.

The other committees have been set up on an ad hoc basis and are renewed annually by the Director. They are the Cataloging Policy, Microforms, Serials, Exhibits, Staff Development, Library Newsletter, and Social Committees. Four committees have representation from the classified staff: Library Newsletter, Staff Development, Social Committee and Microforms Committee.

Committees which exist within divisions and departments are not covered by written policy.

One of the tasks of the MRAP Task Force on Organization was to describe the Management Philosophy and Style. To that end the Likert Profile of Organizational Characteristics (POC) was administered to 24 members of the Administration Council. The results seems to indicate that we are presently operating under what is described by Likert as System 3, a consultative pattern of operation, though we are closer to System 2, a paternalistic and authoritarian model, than to his System 4, a participative model. The Administrative Council members would, however, like to see us operation in a more participative manner. Analysis of the Needs Assessment in general agreed with the conclusions of the Likert POC. (Appendix I)

GOALS AND OBJECTIVES--ANALYSIS

The organizational structure is a means for attaining the objectives and goals of an institution. A number of departments and units within the Library have developed written objectives and goals, but not all have.

The Director of Libraries issued a statement of mission and overall objectives (see Chapter II) for the MRAP Study, but they are not a final definition of the Library's mission or objectives. Specific, written objectives and goals are needed at all levels for determination of organizational effectiveness, for unit performance measurement, and for understanding by the staff of the place of their particular tasks in the organization and work flow. Written objectives and goals should also provide the means for the participation of the staff in unit and library performance review.

RECOMMENDATION

Continue the development of written objectives and goals for the Library and for each unit, department, and division. These should provide a standard against which the performance of each unit and of the library can be measured. These should also be published on a regular basis to further the understanding on the part of all staff members of the basic responsibilities and functions of each unit of the library.

UNIVERSITY INFORMATION NEEDS--ANALYSIS

There exists at present no comprehensive mechanism for determining the information needs of the University community. The Faculty Senate Library Committee and School and Departmental Liaison Officers serve as advisers to the Library, and attempts are made to identify specific information needs on an ad hoc basis by those who meet the users in the performance of their jobs, primarily in Bibliography and Public Services. However without knowing what the needs of the University community are, we cannot accurately measure the effectiveness of the Library in meeting them.

RECOMMENDATION

Establish a formal mechanism to identify university information needs; to identify the categories of users; to identify existing information resources on campus outside the Library; and to study the place of the Library in providing access to information resources. This could be accomplished by an individual or committee with sufficient resources to study how best the Library can identify and meet the information needs of the university community.

ORGANIZATIONAL STRUCTURE--ANALYSIS

For the most part, the organizational structure is clear-cut, well-defined, and understood by the staff. The timely publication and distribution of an updated organizational chart and staff roster have helped the staff to understand the organizational structure. However, there need to be written statements of the function and responsibilities of each unit. This would facilitate the education of staff members as to the functions and responsibilities of units outside his own. This should develop from the written statements of objectives and goals.

The organizational structure is also flexible and appears to adjust to meet changing needs and personnel.

LIBRARY OFFICE--ANALYSIS

The Task Force on Organization identified two areas of the Library which need further definition of duties and responsibilities: the Library Office and the Public Services Office.

In the Library Office the personnel function is distributed among three staff members: the Business and Personnel Manager, the Administrative Assistant, and the Staff Development and Affirmative Action Officer; this has created confusion of authority and responsibility. We suggest that the Personnel Task Force make a specific recommendation in this area. We feel it important for all areas of the library that the Desk Audit for classified staff be resumed and that the development of professional staff job descriptions be pursued. Since internal library support services should be responsive to the entire Library, they should be consolidated in the Library Office.

There is also a need to establish a staff position to coordinate all library efforts in the area of planning. We suggest, with the Planning Task Force, that a coordinator for planning be appointed.

RECOMMENDATIONS

1. Complete the task of providing job descriptions for the Library staff through the Desk Audit of the classified staff and the Job Description Project for the professional staff.

2. Consolidate internal library support services: personnel, supplies, financial services, and mail in the Library Office. Further investigation of the possibility of library management of photocopying services should be undertaken.

PUBLIC SERVICES DIVISION--ANALYSIS

A recent and growing commitment of Library resources has been to direct user services: increase in the number of reference librarians, direct borrowing in the Five-College Area, access to increased resources through the Boston Consortium, the effort to provide better control and service of the stack floors, on-line literature searches, re-establishment of the current periodical room, attempts to respond to complaints about the Copy Center, provision of coin-operated typewriters and lockers, short-term use of locked carrels, etc. In addition, the building requires the staffing of many patron contact points. (Attachment C) But more needs to be done: the new Library building is difficult and confusing to use. The Information Desk in the Lobby should be staffed most of the time the Library is open to assist users in the use of

the building. It is presently irregularly staffed and then only as a secondary duty of the staff member checking in books. In addition there appears to be a lack of formal coordination of the operation of the library in off-hours.

The Task Force also sees a need for the coordination of various information sources outside the Library to reduce duplication and to increase the access to these resources through the Library. One step in that direction has been the attempt to identify all machine-readable data bases which exist on campus. Another is the Reference Staff Vertical File which contains information on some of these sources.

All of the above combined with the increased number of patron contact points in the new Library building have led to growth of the Public Services functions and confusion about the responsibility of the Public Services Office staff; it is clear that Public Services is inadequately staffed for all the functions it performs. Because of the problems involved in establishing new services, too many are now being directly supervised or coordinated from the Public Services Office. The Deputy Associate Director performs a great number of staff functions in addition to the large task of dealing with Physical Plant for the Main Library and the Branches. He also has supervisory responsibility for Circulation, Reserve, Stack Maintenance, Exit Check, Music Library, AV Reserve, Current Periodical Room and the Copy Center.

RECOMMENDATIONS

1. The Lobby Information Desk should be staffed full-time by a staff member whose primary task is to minimize the complexity of the use of the Library building.

2. The Exit Check should have a unit head or should report to the Public Services Office through another unit.

3. Additional staff, perhaps a high level calssified staff member, should be assigned to the Public Services Office to assist in performing staff functions now performed by the Deputy Associate Director: coordination of student assignemtns, carrel assignment problems, copy center problems, coin machine problems, and initial contact with Physical Plant on building and maintenance problems.

4. The Library should identify and provide access to various information sources on the campus.

5. The organizational status of the reading rooms should be defined and/or clarified.

6. "Off-hours" responsibilities, for those periods that the Library is open other than 8 a.m. to 5 p.m., should be defined and delineated.

TECHNICAL SERVICES DIVISION--ANALYSIS

The Task Force has studied a suggestion that the Cataloging functions now divided between two departments within Technical Services, Information Processing and Cataloging, be consolidated into one department. It appears however, that the communications problems are being addressed by regular meetings of those responsible for the cataloging function and by the preparation of a Cataloging Manual.

Organization Task Force:

Wendall Cook
Eric Esau
Sam Markson
James Sokoloski
Ann von der Lippe, Chairperson

Sample List of Non-Library Information Services and "Unofficial" Collections

Information Services:

- Publications Office
- Public Affairs Office
- News Bureau
- Alumni Office
- President's liason office in Whitmore
- Sports Information Office
- COMTECH (School of Engineering - Howard Segool)
- Faculty Senate Office
- University Ombudsman
- Office of Budget and Institutional Studies
- Project PULSE (Larry Benedict)
- Drug Drop in Center
- Public Health Information Center (Professor Chen)
- Birth Control Information Center
- Affirmative Action Guide
- Car Pool List

"Unofficial" Collections:

- Machine Readable Data Bases
- Labor Relations and Research Center
- Energy Library
- Reading Rooms

NOTE: The above information is representative, and is not intended to provide an exhaustive list.

Library Staffing Pattern

	Professional	Classified	Student	Total
Director's Office Total	11.5	15.0	1.76	28.26
Library Office	3.5	4.0	0	7.50
Accounting	1.0	2.0	.30	3.30
Audio Visual	3.0	7.0	1.46	11.46
Systems	3.0	1.0	0	4.00
Archives	1.0	1.0	0	2.00
Bibliography Division Total	5.0	5.0	0	10.00
Public Services Division Total	24.0	49.0	74.17	147.17
Public Services Office	2.0	8.0	5.05	15.05
Branch Libraries	4.5	15.0	14.01	33.51
Circulation	1.0	11.0	42.49	54.49
Documents	1.0	3.0	.53	4.53
Interlibrary Loan	1.0	3.0	.72	4.72
Reference	12.5	4.0	2.42	18.92
Reserve	1.0	4.0	8.95	13.95
Special Collections	1.0	1.0	0	2.00
Technical Services Division Total	21.0	51.0	4.11	76.11
Technical Services Office	4.0	1.0	1.60	6.60
Acquisitions	3.0	17.0	0	4.00
BCL	2.0	1.0	2.51	21.51
Cataloging	8.5	2.0	0	10.50
Information Processing	1.0	18.0	0	19.00
Serials	3.0	12.0	0	15.00
LIBRARY TOTAL	62.0	120.00	80.04	262.04

Patron Contact and Reception Points
"one-deep" hours per week during
"normal" week of academic period

Patron - Contact Points

	hrs/wk
Public Services Units	
Exit check	103.5
Lobby floor: charge out	90.0
Lobby floor: charge return and information	100.0
2nd floor: charge out and return	90.0
Reserve	100.0
Reference	100.0
Microform	73.5
Documents	73.5
Special Collections	37.5
Audio Visual Reserve	76.0
Interlibrary Loan	42.5
Branches	
Morrill	84.0
Morrill Map Room	35.0
Physical Sciences	96.0
Physics	37.5
Music	73.0
Director's Office	
Archives	37.5
Audio Visual Office	45.0
Audio Visual Equipment	45.0

Reception Points

Director's Office	42.5
Public Services Office	42.5
Technical Services Office	37.5
Bibliography	45.0
Reference	42.5
Mail Room	37.5
Serials	45.0

CHAPTER VIII

LEADERSHIP AND SUPERVISION

INTRODUCTION

From the first, the Task Force on Leadership and Supervision became aware that it would be dealing with two elusive, yet vitally important, aspects of library management. Although able to document current supervisory practice, the Task Force had somewhat less success investigating styles of supervision; and the quality of leadership not only escaped definition but lent itself to study only in the context of individual performance, which fell outside the boundaries of the Task Force's report, or as a desirable, but not inevitable, addition to other supervisory skills.

The MRAP Handbook defines leadership and supervision together as "the manner in which the performance of the library staff is directed toward the achievement of objectives" and stresses that at the heart of the matter is the attainment of "awareness and understanding of the human element in the administrative process" and "the relationship of the individual to institutional needs and goals." In pursuing its study, the Task Force stayed fairly close to the Handbook's emphasis on the relationship between institutional and individual needs and goals and attempted to learn how successfully exisiting supervisory policies and practices have led to the recognition, communication, and reconciliation of these two factors.

METHOD OF STUDY

The Task Force searched for written materials at the State, University, and Library levels that might relate to supervision. Job descriptions which include references to supervisory duties and qualifications exist at a State level for classified staff of grade 6 and above; the Library's classified job descriptions are based on these. The Library also has some professional job descriptions which include references to supervisory activities and has written up general rank descriptions for Librarians I through V, and for non-Librarian professional staff.

Reports of other MRAP Task Forces, MRAP interviews, the results of the MRAP Needs Assessment Survey and of the Likert Profile given to the Administrative Council members were examined and yielded a small amount of data relevant to the study.

The subjective nature of many areas of supervision and leadership, combined with the lack of documentation and the MRAP Handbook's suggestion to seek opinion from all levels of staff, led the Task Force to the conclusion that most of the data for its report would have to be obtained through more extensive interviewing than had

been carried out by other task forces. Accordingly, the Task Force sought to divide the Library's staff into meaningful categories from which to select representatives for interviewing. Discovering that the Massachusetts Bureau of Personnel and Standardization, the University Personnel Officer, and the Director of Libraries all gave different definitions of a supervisor, and observing that some degree of supervisory activity goes on even at lower grades and ranks, the Task Force decided to rely on job titles and to group staff into the following categories: (1) Non-supervisory staff; (2) Classified supervisors; (3) Administrative Council members and other professional supervisors; (4) Library Business and Personnel Manager; (5) Director of Libraries. This report will, in addition, refer to the divisions of top management (the Director, Associate Directors, and administrative assistants), middle management (department heads), and front line supervisors.

A questionnaire was distributed to all members of the Administrative Staff; 16 out of 24 were returned. In total, 22 representatives from the Administrative Staff, the non-supervisory staff, and the classified supervisors were selected for interviewing more or less at random, but with an effort to include representatives from the various units of the Library. Also interviewed were the Director of Libraries, the Library Business and Personnel Manager, and the University Personnel Officer.

Following the guidelines in the Handbook, the Task Force divided its investigation into three major areas of concern: functions of library supervisors; perceptions of supervision/leadership and supervisory/leadership styles; and selection, training and promotion of supervisors.

DESCRIPTION OF THE PRESENT SITUATION

Functions of Library Supervisors

Outside of the information found in individual job descriptions, there is no State, University, or Library listing of the duties of supervisors. When consulted, both classified and professional library supervisors named a variety of responsibilities, notably: setting targets, assigning tasks, coordinating activities, and training and developing staff. In its interviews, the Task Force examined these basic supervisory duties within the context of the more general areas of unit productivity, decision-making, and working relationship with staff.

Associate Directors and department heads stated that they are authorized to make decisions in the following areas: task assignment, hiring and firing, promotions and raises, and, occasionally, expenditures. Legally all personnel decisions are made by the Chancellor, with Library administrators acting as advisors; in practice, recommendations from the Library which are well documented are seldom reversed or questioned. Most budget and allocation decisions

within the Library are made by top management. The Director stated that he attempts to push decision-making down to the lowest possible level, but classified supervisors appear to make decisions at the level of task assignment, or, occasionally, setting targets. Professional supervisors and most classified supervisors interviewed were satisfied with the amount of authority granted them.

Basic to supervision is the supervisor's working relationship with his/her staff. While the Director and supervisors interviewed said they were always accessible to the staff, non-supervisory staff's opinions on the accessibility of their immediate supervisors varied. Related to this are responses of staff and supervisors concerning the identification and assessment of staff attitudes and opinions. This is done informally through personal contact and more formally through departmental meetings. Some staff members think that their supervisors are open to suggestions but that the suggestions stop there and/or are never used.

Both supervisors and staff mentioned a lack of job incentives. Most positive responses cited personal interest or praise by the supervisor as strongest motivators. Pay and promotion were cited only occasionally and are pertinent only to the professional positions. The Director sees the supervisors as playing a major role in motivation by keeping units aware of current goals of the Library and encouraging staff to identify with them. Supervisors cited staff meetings and personal contact with staff as the most popular ways of keeping staff informed, although written memos and the Library Information Bulletin were also mentioned as useful. Staff members indicated general satisfaction with the amount of information coming down from the top, but there is considerable variation among units in the manner of communication and the frequency with which information is passed along. Many staff members think a greater flow of information is needed between departments.

Supervisors said they try to encourage employees to work independently, and staff members generally corroborated this, saying they are very satisfied with the amount of independence given them on the job.

Although most supervisors stated that they try to encourage staff to develop new skills, a number responded that it is not really possible, given the restricting nature of jobs, grade level problems, and division of work among departments. A great deal seems to depend on individual incentive and initiative. Among non-supervisory staff interviewed, more professionals than classified staff stated that they had been encouraged to develop skills.

Supervisors review their staffs annually, but there are no Library-wide standards for either professionals or classified staff. Supervisors said they base their evaluations on such factors as the efficiency of the unit as a whole, the quantity and quality of individual work, and on the attitude of the employee.

PERCEPTIONS OF SUPERVISION/LEADERSHIP AND SUPERVISORY/LEADERSHIP STYLES

In this section of its study, the Task Force tried to discover whether or not top management has attempted to encourage a uniform supervisory style, whether or not supervisors and staff think there has been any such effort, how supervisors arrive at a style of supervision, and how styles of supervision affect the work climate and the non-supervisory staff's perception of management.

Supervisors and staff do not think there is an attempt to establish a common supervisory style in the Library. The Director's own stated philosophy is to push responsibility down to the lowest possible level and to encourage his staff to identify with the goals of the Library. He believes that different units need different types of supervision. While supervisors are encouraged to attend State management courses, the Director has no expectation that they will come out with a particular supervisory style.

Some members of the Task Force thought that the Administrative Council might be functioning as a forum for discussion of supervisory practice, but the majority of its members questioned do not think it does, and many said that this is not the purpose of the group. There is no other general meeting of top and middle management; there is no meeting of classified supervisors as a group.

Non-supervisory staff were able to list a variety of duties when asked what their supervisors' responsibilities are. Task assignment and problem-solving were most often mentioned.

Although the Director stated that a major role of the supervisor is to communicate to the staff the goals and objectives of the Library, both supervisors and non-supervisory staff feel uncertain about what these goals and objectives are. Reconciliation of individual goals and institutional goals was not seen as a major problem, but this must be assessed in the light of the general lack of knowledge of what the Library's goals are.

There was variation among departments on the question of whether staff members are treated as mature, responsible individuals, and this appeared to depend somewhat on personality factors. Similarly, some non-supervisory staff said they are encouraged to make decisions, while others said that this depends on the job and on the rank of the staff member. Most non-supervisory staff think their supervisors are interested in them as individuals.

The great majority of staff members interviewed said they receive a fair amount of satisfaction from their individual jobs and somewhat less from being members of the Library staff. The Director said that the Needs Assessment Survey shows that morale is fairly good and added

that supervisors can play a role in improving morale through improvement of working conditions. Although most staff interviewed seemed generally satisfied with supervision received, it must be noted that staff members in some departments indicated considerable dissatisfaction.

SELECTION, TRAINING, AND PROMOTION OF SUPERVISORS

There are no special procedures for the selection, training, or promotion of supervisors in the Library. Job descriptions and general grade descriptions include references to supervisory duties and qualifications. Selection of supervisors is affected by the State classification system, and by an informal two-track advancement system for professionals, which has as one criterion for promotion increased supervisory responsibility. Classified staff must apply for, rather than be promoted to, any position with a higher grade. For professionals, supervisory titles are separate from ranks (Librarians I-V). Members of both groups may be assigned supervisory duties within their current grade. When asked whether technical ability or supervisory ability is more important in the selection of a supervisor, the University Personnel Officer, the Library Personnel Officer, and most of the professional supervisors said that supervisory skill is given more weight. The Director said that there may be more weight placed on technical skills in some areas where mastery of skills may be necessary to earn the respect of the staff.

The orientation schedules which have been set up for classified and professional staff in the Library do not include special programs for supervisors. A certain amount of on-the-job training takes place within departments, but there is no standard program. At this time the University Personnel Office provides no training programs in supervision for its employees. A few years ago it did run a very successful orientation session for supervisors but this has not been continued due to lack of staff time. Any staff member may take management courses at the University with tuition waived, but he must make up the time spent away from work. Five years ago the School of Business Administration gave a series of management seminars in the Library for Library administrative professional staff, and the Director stated that he would be interested in having this type of program again. The State offers management training courses on a very restricted basis; the Director tries to send as many supervisors as he can to these. Over the past two years approximately 20 supervisors (classified and professional) have attended State courses, and many of those interviewed said they found the programs helpful. Among the classified supervisors, those who had not attended courses said they had developed their supervisory skills through experience.

Classified and professional supervisors are evaluated annually by their supervisors, and the evaluation procedures do not differ from those for non-supervisory staff. The evaluation forms do not include

sections relating specifically to supervisory performance. The Director has emphasized that the performance of the supervisor can be judged in relation to the efficiency and performance of the unit. Non-supervisory staff do not play a part in the selection or evaluation of supervisors. Most of the non-supervisory staff interviewed would welcome the opportunity to evaluate their supervisors at annual review time and/or at the time of selection, but said they realize the possible problems involved in such a procedure.

ANALYSIS

The Task Force feels that the current supervisory structure and practice in the Library is adequate for maintaining departmental efficiency. The Director allows a great deal of room for individual differences in supervisory style, but both he and the supervisors interviewed appear to have concern for the non-supervisory staff and to be open to improvement of supervisory practice. Although there is some dissatisfaction with current supervisory practice, particularly among non-supervisory staff, it is by no means Library-wide. Morale can be said to be generally good in spite of individual differences in satisfaction with jobs and supervisors.

Supervisors and staff seem to know and to agree on what the roles and responsibilities of supervisors are. The staff has noted that some front-line supervisors seem unsure of what decisions they are authorized to make. The Director stated that he tries to push decision-making to the lowest possible level, but some classified supervisors indicate that they would like more authority. There has been no concentrated effort to establish a common supervisory philosophy in the Library, and there is no forum for the discussion of problems in supervision, which are handled on an individual basis.

Even taking into account differences in personalities, wide variation from department to department and from individual to individual in responses concerning supervisor/staff relations and job satisfaction indicates an unevenness in the Library of supervisory capabilities and training, decision-making powers, application of policies, and treatment of professionals as opposed to classified staff.

Explicit productivity guidelines are not set by the Director. Supervisors have the responsibility of assessing day-to-day demands on the departments, and this may contribute to a departmentalized, rather than over-all, picture of the Library on the part of middle management and front-line supervisors.

Many staff members feel isolated in their departments and unsure of the functions of other departments. Contributing factors to this departmental isolation are variations in the way informa-

tion reaches staff and in the frequency with which they receive information; a general lack of knowledge of the goals of the Library; a lack of inter-departmental information flow; a feeling that staff opinions are not sought and that suggestions stop at the front-line supervisor and/or are never used; differences in the work climate in different departments.

Non-supervisory staff generally see only their immediate supervisors as accessible for consultation (some do not think even their immediate supervisors are accessible). The Director said he is accessible for consultation on general Library matters and certain individual problems, but this does not seem to be clear to the staff. Discussion of staff problems and assessment of staff opinion seem to depend more on compatibility of personalities and on the initiative of individual staff members than on active efforts of supervisors in this direction.

Supervisors interviewed did not seem to be universally aware of all possibilities in the area of staff development; many referred to the difficulties involved in creating opportunities for staff, particularly classified staff, to learn new skills.

Evaluation of staff members by supervisors was seen by the Task Force as a difficult area and one of potential staff dissatisfaction. Although formal reviews are done annually, it is important for staff members to have both positive and negative feedback throughout the year, and this should be considered a basic supervisory responsibility. Evaluation of supervisors is carried on adequately following the procedures used for other staff, since the evaluation forms used are very general. Non-supervisory staff expressed an interest in participation in the evaluation of supervisors; both the Task Force and the staff interviewed recognized that this would be a delicate procedure to set up.

Although promotion to supervisory positions does not exist <u>per se</u> in the Library, it is important to note that the assignment of supervisory duties, even within a grade or rank, can lead to the increased supervisory experience often needed to secure a supervisory position at a higher grade. The informal two-track advancement system for professionals has the advantage of allowing staff to advance in rank without competing for supervisory positions that they might not really want or be suited for. If used straightforwardly, this system should help to ensure high quality among supervisors.

On-the-job supervisory training in the Library is haphazard at best; and some current supervisors have no formal supervisory training, while others have attended management courses. The

Director has shown concern for supervisory training but is cognizant of the constraints of budget problems.

RECOMMENDATIONS

The Task Force believes that, to a great extent, supervisory skill is learned, not innate, and that it is possible for all Library supervisors to reach a basic level of supervisory capability. Individual leadership qualities or exceptional supervisory ability will, of course, produce supervisors who rise above this basic level of competence.

Effective library operations require the highest possible level of supervisory expertise from each individual supervisor. In order to assure that all supervisors are able to operate at, or above, a standardized, minimally acceptable level, the Task Force makes the following recommendations:

1. Classified supervisory positions should be defined by the Personnel staff and this information should be readily available.

2. All supervisors should receive a basic in-Library training program, covering: (a) duties and responsibilities of the position; (b) areas in which decisions may be made; (c) methods of staff evaluation and methods of establishing a continuous dialogue with staff concerning work performance and problems; (d) training and development opportunities (extra-Library and on-the-job) for all staff, both professional and classified; (e) State, University, and Library policies and their application; (f) supervisory styles; (g) basic supervisory skills. The Personnel staff should be responsible for the program, with the advice of the Staff Development Committee.

3. Newly appointed supervisors should have an in-service training course covering the same information.

4. A forum for the discussion of supervisory philosophy, style, problems, application of policies, etc. should be set up to ensure a continuing consistent application of policies in all departments. The Administrative Council might perform this function by setting aside one meeting a month or every two months for this purpose. The classified supervisors and professional supervisors not on Administrative Council should be included in these meetings.

5. The Task Force supports the Director's interest in having management seminars in the Library and in sending supervisors to State-sponsored courses and recommends continued expansion of such opportunities.

It has been noted in this report that there is a feeling of individual and departmental isolation among non-supervisory staff in the Library, and the Task Force thinks that supervisors can play a major role in alleviating the situation. To aid supervisors in this, the Task Force recommends the following:

1. A written statement of the goals and objectives of the Library should be provided by top management and made available in a manner which will be meaningful and applicable to individual staff members.

2. The Director should clarify to all supervisors and staff what types of problems and questions should be dealt with through the usual chain of command, what procedures are to be followed when problems or questions involve different departments or divisions, and under what conditions he, the Associate Directors and the unit heads are available for direct consultation, disregarding the chain of command.

3. A regular departmental meeting is recommended to insure that all non-supervisory staff receive general Library information in the same way and with the same frequency. Even if there is no "news" to pass along, the meeting can serve as a forum for the exchange of information and questions arising from announcements. Employees should also be encouraged to submit topics of discussion and to bring up work-related problems.

4. A greater flow of information between departments should be established. This could take the form of the distribution of minutes of weekly departmental meetings to the other departments of the Library. From time to time, department heads should invite members of other departments to the weekly meetings to discuss functions of other departments, changes in departmental routines, etc.

Considering that procedures used in the selection and evaluation of supervisors affect the quality of supervision in the Library, the Task Force also recommends that:

1. The Director instruct the Personnel Policy Committee to study the informal two-track system for the advancement of professionals in their jobs, and to draft a formalized policy and procedure for its application.

2. A group of supervisors and non-supervisory staff be appointed by the Director to review current procedures for the evaluation of supervisors, and to investigate the possible involvement of non-supervisory staff in the selection and evaluation of supervisors.

Leadership and Supervision Task Force:

Marguerite Allen
Charlotte Cummings
Robert DeRusha
Emily Kimmel, Chairperson
Donold Koslow

CHAPTER IX

STAFF DEVELOPMENT

INTRODUCTION

The purpose of staff development is to develop and maintain a knowledgeable, well-trained and flexible library staff, so that the University Library system can more effectively and efficiently meet the aims of its mission, which is to "...provide appropriate support for the instructional, research and public services of the University of Massachusetts in Amherst." The philosophy of the staff development program is based on the premise that the development of the individual can and will improve his or her job performance and value to the institution in the immediate or near future. The responsibility for staff development is a mutual one between the organization and the individual; it is the responsibility of the institution to provide the opportunity for development, and the responsibility of the individual to take advantage of the opportunities offered. Outside of basic job orientation and immediate training needs, the individual also has the freedom to choose not to take advantage of the opportunities offered through the program.

BACKGROUND

Staff development in the library was not a formally organized program until January, 1973. At that time, the newly appointed Director of Libraries saw the need for such a program and appointed a Staff Development Officer. The Staff Development Officer was not able to devote full time to this position because of duties relating to the new building and a later appointment as Head of the Physical Sciences Library. Presently the position calls for the expenditure of 1/5 of her time on staff development.

The Staff Development Committee was formed later in 1973 to assist the Staff Development Officer by providing input from the staff relative to the Program. Members were appointed from a pool of volunteers from all levels of the library. From its inception, the Committee's role has been an advisory one, first to the Staff Development Officer in the areas of policy, procedure and action, and since January, 1975, advisory to the Director of Libraries, with the Staff Development Officer serving as chairperson. Throughout the first year of its existence, the members of the Committee were confused about the exact nature of their assignment and the commitment of the library administration to staff development programs. Much of their confusion stemmed from the lack of a charge to the committee and a definition of staff development. The problem was further complicated by lack of any clear indication as to who was to act as innovator of the Library's Staff Development programs. This lack of direction has hampered the Committee in its efforts to work out its role.

The staff perceives the Committee in many different ways. From the questionnaires returned to the Task Force, it was apparent that the committee is viewed as one which develops, reviews and monitors staff development programs; publicizes staff development opportunities; advises either the Director, the Staff Development Officer, or both; and acts as a clearinghouse for staff input. The staff views the Committee as more action-oriented than does the administration or the Committee itself.

At the present time, the Committee's relationship with the Director is very clearly spelled out. The Staff Development Officer is the chairperson of the Committee and all communications to the Director go through the Chairperson. The committee's relationship with the staff is not clearly stated.

The Task Force found no sufficiently clear definition of staff development with which to work. Therefore, the Task Force developed its own definition:

> Staff development is a continuous process used to secure improvement in the performance of the individual as a member of the organization by the development of the individual as a person.

A description of some of the opportunities offered library staff follows.

ORIENTATION

Orientation is an attempt to define for new staff members the role and scope of the Library, to describe its history and organization, and to develop an awareness of its resources, facilities and operations.

Orientation has developed in the library since 1969 from a program dealing with conditions of employment and functions to be performed on the job, to a more complex process.

An extensive orientation schedule has been set up for new professional staff, which attempts to expose them to the workings of every department. The time spent in each department varies with the material to be absorbed and the need to "know" its functions. A 6-8 week period has been set aside for professional orientation, giving new staff members a reasonably firm grasp of each unit, and through it, a perception of the Library as a whole.

Orientation for classified staff is handled differently. An organized program was instituted in February, 1972, another in December, 1973 and the current program began in July, 1974. Until the freeze on hiring was imposed in January, 1975, the orientation session was run every two months, giving every newcomer a chance to participate. Rather than having employees work in different departments, as in the professional orientation, department or division heads are invited to discuss the task performed by their units. Orientation consists of one two hour session.

TRAINING

Few assignments can be accomplished without on-the-job training. All supervisors are involved in these processes for new staff members. The amount of time spent by new staff in on-the-job training is determined by the supervisor, and varies widely from one assignment to the other. Although new professional staff members get some on-the-job training, it is assumed that they are well versed in library operations and the use of library tools through their schooling and experience. Training of classified staff is a little more thorough, although guidelines, rules, directions--whatever methods are necessary for the mastery of the task--seem to be somewhat haphazard and vary from department to department. Problems are usually handled by question and answer as they arise.

NEW WORK EXPERIENCE

New work experience, or the exchange of personnel from department to department, division to division, or library to library, can be a way to provide staff with a perception of the library's function as a whole rather than a conglomerate of separate units. Librarians are given other assignments from time to time, usually because of administrative necessity rather than as a work-related stimulus. Although some "loans" are presently taking place, a shift in assigment of classified staff is usually connected with promotion. It is expected that "loaning" of staff from one department to another will increase as library needs due to staff shortages make it necessary.

COMMITTEES

The Task Force perceives committee work as a valuable way for staff members to participate in the administrative workings of the library and to develop interpersonal skills and relationships. Within the library there are presently twelve committees in operation, varying in membership size from as many as twenty-five (Administrative Council) to three (Exhibits). The majority of these committees, due to their nature, are staffed by professionals, with meetings called whenever the need arises. Classified staff members are represented in three committees, with the largest number involved in the Social Committee.

CONFERENCES, WORKSHOPS AND INSTITUTES, MEETINGS

Conferences are usually attended by professionals only, since most of them are under the auspices of professional associations. The topics discussed at these conferences cover a wide spectrum of library activity, ranging from the very specialized to broader areas of library management and professionalsim. Travel funds are allotted as available and according to Library and University policy, to employees wishing to attend various conferences.

Workshops and institutes are conducted by the State, the University and the Library. They run a wide gamut of topics, and are less structured than conferences. These programs are open to professional as well as classified members in the Library who have job related needs. The State Training Program in Office Management is one example of the programs offered.

Meetings are another means by which reports are delivered, ideas exchanged, or instructions passed on. They are usually even more informal than conferences, workshops or institutes. Meetings are usually held in the Library and may be "brown bag" luncheon affairs. One example is the 5-College Library Lecture meetings, scheduled regularly during the academic year, which give professional staff members in the 5-College area libraries a chance to exchange ideas and information.

PROMOTIONAL OPPORTUNITY

Although promotional opportunity may not seem to fall within the sphere of staff development, its connection with many endeavors in which staff are engaged is obvious. While added expertise and knowledge is a desirable goal, promotional opportunity is an incentive toward maximization of one's capabilities and is an important motivational factor in the staff development process.

COURSE WORK

The University provides a fringe benefit, in the form of tuition waivers, for all its fulltime employees. Many of the Library's staff have taken advantage of the opportunity to take up to four credits per semester tuition-free. Courses are taken in many disciplines, some of immediate value to library work. Under current policy, released time is not allowed for courses taken, except in instances where they are directly related to library usefulness, or part of a program to obtain a library science degree. Current policy relative to released time for course work appears to be applied inequitably.

Many staff members also take advantage of the Continuing Education program offered at the University and at many of the other area colleges. These courses are taken in the evenings, and there are no tuition or time benefits provided by the State, the University or the Library. The University of Rhode Island offers courses in Library Science through the University's Division of Continuing Education.

SABBATICALS

Sabbatical leave is a University benefit available only to professional staff and is governed by well-defined University and Library policies. This leave can take the form of scholarly pursuits, study of other library systems, or any other activity which might serve to enhance professional standing or understanding.

STATE PROGRAMS

The State provides a training program in Brighton for its employees. Courses have included such programs as Management Training, Effective Writing, and Human Relations. The University is given a number of slots for the programs. When a program is initiated, the University is given little or no advance notice, and this has caused problems in enabling people to attend. Some of the library staff have been able to take advantage of these opportunities when they arise.

SUMMARY

While the Staff Development program is still in an experimental phase, there are some areas in which it has been developed already into a good, working program. The creation of the position of Staff Development Officer and of the Staff Development Committee indicate an awareness on the part of the administration of the need for such a program, and support for its implementation.

GENERAL RECOMMENDATIONS

1. The Task Force recommends that the definition and purpose of Staff Development be accepted as stated below and be used as the basis for continued improvement of the Staff Development Program.

Definition: Staff development is a continous process used to secure improvement in performance of the individual as a member of the organization by development of the individual as a person.

Its purpose is to develop and maintain a knowledgeable, well-trained and flexible Library staff, so that the University Library can more effectively and more efficiently meet its objectives and carry out its mission.

2. The Task Force offers the attached model as a visual clarification of the roles, functions and responsibilities related to the Staff Development Program and recommends that it be used as a basis for facilitating the Staff Development program in the future.

3. Recognizing that the purpose, importance and concept of Staff Development is not clearly understood by the Library staff, the Task Force recommends that the Director of Libraries take immediate action to inform the Library staff of the purpose, importance and concept of Staff Development and direct the Staff Development Officer to prepare a special program or brochure to inform library staff of Staff Development opportunities, procedures and related policies.

4. The Task Force feels that there is a lack of identifiable publicity about staff development opportunities and activities, and that confusion exists as to what is and is not a staff development opportunity. The Task Force recommends therefore, that those matters pertaining to Staff Development be publicized and clearly labeled in the Library Information Bulletin as such, and that all opportunities, descriptions and reports be written up under one specific heading. Such announcements might include procedures for tuition waivers, courses, institutes, workshops, meetings, committee work, and reports which individuals produce from such activities. Implementation of this recommendation should be the responsibility of the Staff Development Officer working with the editor of the Library Information Bulletin.

5. Because staff development is a continually changing process, the program should be monitored constantly by the Staff Development Officer and Committee, with particular emphasis on input received from the staff.

6. The Staff Development Officer should be allowed sufficient time to spend on the Staff Development program.

7. Staff Development has apparently not received any long-range planning. The Task Force recommends that the Staff Development Officer prepare a 3-year plan for the Staff Development program.

MORE SPECIFIC RECOMMENDATIONS

8. The professional and classified orientation programs are important parts of the developing staff program. The orientation for classified staff should be expanded and developed more along the lines of the program for professional staff members.

9. The Task Force recommends that all members of the staff who have not had the opportunity to do so, be encouraged to participate in the orientation program, providing they have supervisory approval.

10. The Task Force recommends that on-the-job training programs be structured more formally than they are now.

11. The Task Force recommends the development of a personnel exchange program similar to that described as new work experience on page 3 of this report.

12. The Task Force recommends that committee work be recognized as a valuable way for staff members to develop interpersonal skills and relationships while participating in the administrative workings of the library, and that more committees be opened up to classified staff members.

13. The Task Force recommends that the University Library Personnel Bulletin #002 regarding Release Time for Course Work, be evaluated, and revised if necessary and that a standard interpretation of this policy be applied throughout the library system.

14. Although this Task Force has not investigated student orientation and training, it is recommended that this area of staff development should be investigated, under the direction of the Staff Development Officer.

ROLE AND FUNCTION OF THE STAFF DEVELOPMENT COMMITTEE

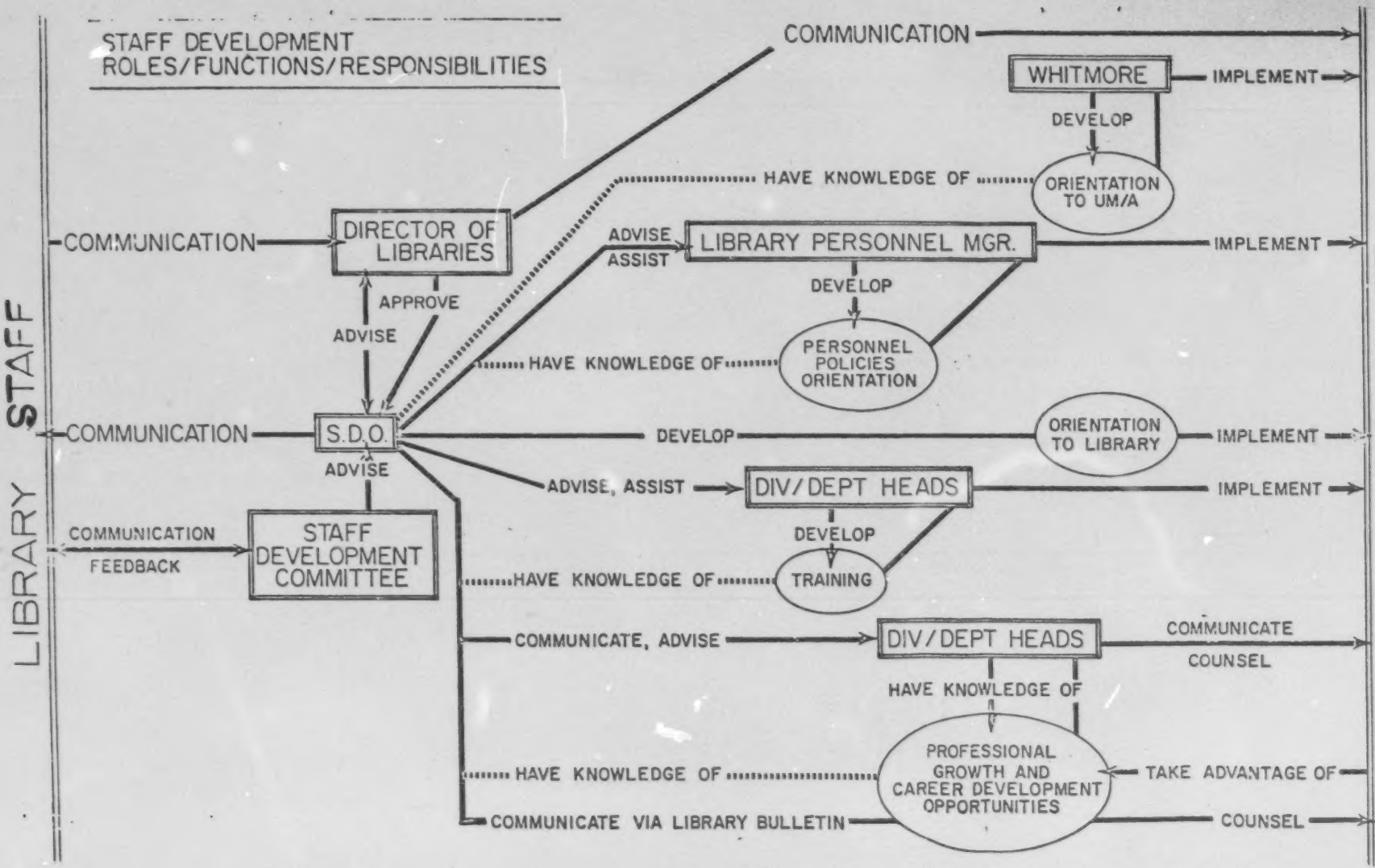
Recognizing that the Staff Development Committee is part of the emerging, experimental staff development program, the Task Force makes the following recommendations in regard to its role and function:

15. The Task Force recommends that the Staff Development Officer continue in the role of Chairperson of the Staff Development Committee.

16. The Staff Development Committee should establish open lines of communication with the library staff.

Staff Development Task Force:

Gerald Hopp
Charles Powers
William Thompson
Kathleen Walsh, Chairperson



CHAPTER IX
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CHAPTER X

PERSONNEL

INTRODUCTION

The Task Force on Personnel was charged with the systematic review and analysis of present library practices relating to personnel, including the functions of personnel administration, the role of personnel staff, and personnel policies and procedures.

In conducting its study the members of the Task Force read MRAP materials, basic texts on personnel, and the interviews and reports of previous task forces, gathered State, University, and Library documents, and interviewed selected University and Library staff.

The description, analysis and recommendations that follow report our perceptions of some of the strengths and weaknesses of the Library's personnel program.

THE STATE AND UNIVERSITY SETTING

The Library staff is made up of three major groups which are under the jurisdiction of the three administrative areas in the Chancellor's Office, and which are therefore subject to differing sets of policies and procedures.

The professional staff is composed primarily of librarians who have "academic status" by virtue of recognition by the Chancellor of the Amherst campus of the University and who therefore come under the direction of the Vice-Chancellor for Academic Affairs. Personnel policies which apply to them are similar in many ways to those which apply to the faculty. In accordance with the provisions of the University Governance document known as the Morris report, librarians (like faculty members) vote annually to decide if they want their own personnel committee. In recent years they have chosen to have an elected Personnel Policy Committee which recommends policies relating to merit increments and promotions to the Director, and a Personnel Committee which recommends to the Director the names of individuals who should receive merit increases or promotions. The present Director has requested that the Personnel Policy Committee consider other personnel policies affecting the professional staff, brought to the Committee either by him or by staff members. Professional staff who are non-librarians have university designated professional titles.

The full-time support staff in the Library are primarily in State positions in grades rated 3 through 12 and therefore are subject to rules and regualtions established by the State Bureau of Personnel

and Standardization as interpreted by the University Personnel Office. The University Personnel Office is part of the Division of Administrative Affairs in the Chancellor's Office.

Student employment is administered by the Student Employment Office in Financial Aid Services, which is under the direction of the Vice-Chancellor for Student Affairs. Conditions of student employment are set by Federal and State law and regulations as interpreted by the Student Employment Office.

ORGANIZATION OF LIBRARY PERSONNEL ADMINISTRATION FUNCTIONS

Within the Library, the Director has ultimate responsibility for the personnel program. At the present time he is advised by a Personnel Committee, consisting of the three Associate Directors, and two non-voting members who are the Business and Personnel Manager, and the Affirmative Action and Staff Development Officer.

Responsibilities for the various functions and activities of personnel administration are appropriately distributed among all levels of library management. In general, line supervisors (unit or department heads) prepare personnel requisitions, interview and select staff, provide needed on-the-job training and appraise performance, under the direction of the Division heads. Personnel staff in the Library Office are generally responsible for recruitment and initial screening of candidates, processing of records, advising on personnel policies and problems, labor relations and administration of the Affirmative Action and Staff Development programs.

There are four staff members providing advice and technical assistance to the line supervisors: the Business and Personnel Manager, who supervises personnel activities and has primary responsibility in the areas of professional staff, personnel budget, and labor relations. the Administrative Assistant, with responsibility for matters relating to classified staff, routine questions relating to professional staff, and file and record maintenance; a personnel clerk who handles student employment and records; and a professional librarian who is responsible on a part-time basis for the Library's Affirmative Action and Staff Development programs.

In spite of the fact that personnel activity is divided among four people, all of whom have other responsibilities, in the opinion of the Task Force what is undertaken is generally performed well. The Library, unlike some other employing units on campus, has the reputation of being concerned about personnel and of running a "tight ship."

There does appear to be some confusion, however, both in the University Personnel Office and in the Library about who does what among the personnel staff. There are also some personnel functions, primarily in the area of staff relations, for which no one among the personnel staff has responsibility.

RECOMMENDATIONS

The Director with the present personnel staff should consider the reallocation of responsibilities in the personnel area so that there could be one person who can devote full time to the personnel function. When it is feasible the Library should recruit a full time personnel officer who has formal training and experience in both librarianship and personnel, and who is acceptable to professional and classified staff.

The personnel staff, under the direction of the Director of Libraries, should prepare a written statement of objectives for the personnel program as well as a detailed outline of the organization, assignment of duties and responsibilities, channels of communication and working relationships among all University and Library staff who have functions in the area of personnel.

PERSONNEL POLICIES AND PROCEDURES

The Library personnel program is guided by policies and procedures which cover most personnel matters. There is extensive documentation of State, University, and Library personnel policies.

The University Personnel Office recently issued a Personnel Payroll Policies and Procedures Manual. New statements of University policy are distributed as attachments to the Weekly Bulletin which goes to all employees.

The Faculty Handbook, which touches to some extent on personnel policies, was distributed this spring to academic staff, including librarians. Professional librarians have received a "Statement of Personnel Policy" which contains references to all relevant documentation and receive copies of personnel policy statements which apply to them. As new policies are considered by the Personnel Policy Committee they are discussed and voted on. Policies covering the professional staff are thus generally available, understood, and accepted.

New classified staff members receive copies of Welcome to Classified Employment, a popular treatment prepared by the Personnel Office, and Rules and Regulations Governing...Leave (the "red book") issued by the State Bureau of Personnel and Standardization. The pamphlet Rules and Regulations Concerning Classification and Pay Plan (the "gray book") issued by the State Bureau, is very difficult to obtain and therefore is not generally distributed, although there is a copy in the reference collection.

Policies and procedures covering the classified staff can be changed only on the State level, and can be interpreted on this campus only by the University Personnel Office. There are further difficulties

due to the multiplicity of sources which define policy, the lack of information on the availability of policies, and problems in applying these policies equitably.

There are not adequate written policies covering student employment, although the Student Employment Office issued in January 1975 a manual of which there is a copy in the Library Office, and the Library personnel staff has prepared "Information for Library Student Employees" which is given to each new student employee.

RECOMMENDATIONS

The personnel staff in the Library should plan and conduct a training program for all library supervisors on personnel policies and procedures covering the classified staff. The advice and support of the University Personnel Office should be sought.

Consideration should be given to the articulation of more detailed policy statements covering student employment, in cooperation with the Student Employment Office.

Complete sets of all printed materials giving information on personnel policies and procedures applicable to each of the three main groups of staff, together with a list or index to these materials, should be made available in at least four locations within the Library--the Library Office, the offices of the two major Divisions and a location readily accessible to all staff members (possibly Reference or Reserve). These collections should be reviewed annually to be sure that they are complete and up-to-date. Their existence should be publicized in the Library Information Bulletin at least four times a year. In addition, each staff member should be provided with an index to these materials.

RECRUITMENT, SELECTION, AND PROMOTION

In the opinion of the Task Force efforts are made to insure that Library personnel recruitment, selection, and promotion methods are as systematic and equitable as possible. The policy is that position vacancies are advertised both within and without the library. Special efforts have been made to recruit minority candidates for both professional and classified positions in pursuance of affirmative action goals.

Professional personnel policy provides for what is in effect a two track system of promotion so that there are opportunities for advancement apart from the administrative route.

For classified employees the State and University system provides for a "promotion from within" policy and opportunities for advancement in the Library are favorable compared with other employing units on campus.

The Task Force is aware that the administration of these policies has given rise to some complaints about the lack of fairness in the cases of both classified and professional staff.

RECOMMENDATIONS

The training program for supervisors recommended in the section on Personnel Policies and Procedures should emphasize basic personnel principles governing the application of policy, especially in making recommendations on the selection and promotion of staff.

When there are any departures from stated policy a special effort should be made to explain the reasons to concerned staff before a public announcement is made.

DESCRIPTION, CLASSIFICATION, AND COMPENSATION

The Library's personnel program provides for the description, classification, and compensation of positions according to job content, required qualifications, and the nature of the responsibility.

There are no standardized job descriptions at the present time for the professional staff, although job descriptions are prepared for recruitment purposes and also are written by the individual librarians as part of their annual reviews. The Business and Personnel Manager plans to prepare standardized job descriptions by fall 1975.

Classified staff positions have two job descriptions--one prepared by the State Bureau of Personnel and Standardization, (a collection of these is at Reserve in the main library) and the other prepared within the Library which is congruent with state specifications, and is more specifically related to the particular job.

Professional librarians have their own classification plan which provides for five ranks, each with stated qualifications, responsibilities and salary ranges, and which is generally acceptable to the staff. Other professional staff carry the titles of staff Assistant, Staff Associate and Staff Administrator. The Professional Association at University of Massachusetts/Amherst (PAUMA) has been working with the campus administration on drawing up more definitive job descriptions and salary schedules for its members.

Classified staff hold selected grades in the state system, appropriate to library jobs, which have mandated salaries for each grade and step raises within each grade.

Some problems with the classification of specific jobs within the library system have been identified, but the job audit of all classified positions now under way should make possible the rectification of inequities when it is complete.

Compensation levels for librarians are generally equal to those for non-faculty professional positions within the University. Within the constraints of the state system, compensation levels for classified staff are comparable to those elsewhere in the University. There are inequities in the hourly wage rates paid to student assistants because of the change in the minimum wage on January 1, 1975. These inequities result from increases in the legislatively mandated minimum wage rate which partially offset increases granted to experienced student assistants which are based on length of service.

RECOMMENDATION

The inequities in the wage rates for student assistants should be rectified.

REVIEW OF PERFORMANCE

The personnel program in the library provides for periodic, formal reviews of the performance of each full-time staff member, with participation by appropriate levels of management staff and an opportunity for employees to see and comment on their reviews.

The quality of the reviews has been the cause of some dissatisfaction on the part of both professional and classified staff. Complaints focus on claims that in some cases staff members are suddenly faced with an unfavorable review for which there was no prior preparation and that the review process is not used to identify opportunities for career growth and improvement in performance.

RECOMMENDATIONS

In line with the Library's efforts to use the Management by Objectives approach, evaluations should be based upon specific goals mutually agreed upon by supervisor and employee in advance. These goals should be used as the basis for a continuing evaluation of performance as well as for the formal annual review.

More support and assistance in the form of training and technical advice should be given to supervisors in the difficult task of performance appraisal; this is a function for which a full time Personnel Officer, trained both in personnel and librarianship, could provide effective support.

STAFF RELATIONS

A major function of personnel administration is the "conduct of a staff relations program designed to improve working relationships, job satisfaction, supervisor and subordinate performance, and union

relations." Such a program involves "determining causes of staff difficulties, designing solutions to the problems and operation of grievance, communication and union relations procedures." (quotation from MRAP Manual)

The Library's personnel program provides for grievance procedures for the professional staff, which has its elected Grievance Committee, and for classified employees, who have available to them the state grievance procedure outlined in the "gray book" and who may use the services of the Chairman of the Grievance Committee of the MSEA in pursuing grievances. Student employees have no formal grievance procedure available to them.

Labor relations within the Library are the responsibility of the Business and Personnel Manager, who is knowledgeable about labor relations and collective bargaining practice and who has access to legal counsel provided by the University.

Grievance procedure and labor relations are thus adequately provided for. Other areas of staff relations are not. Divisional and departmental interests, supervisor/employee relations, other working relationships, and job dissatisfaction, particularly in the classified ranks, are potentially disruptive forces. If the Library is to achieve its objectives, all staff members, and especially supervisors, must take responsibility for the establishment of a positive working environment. Recognition of the importance of this area of personnel administration should be reflected in the Library's formal personnel program.

RECOMMENDATION

The objectives of personnel administration within the Library should explicitly include the improvement of working relationships, and a staff member in personnel should be charged with this responsibility.

IDENTIFICATION AND UTILIZATION OF STAFF SKILLS AND CAPABILITIES

Although the Library has in its personnel files information on the skills, experience, and education of staff members, there is no formal skills inventory. There is an effort to make use of special skills but this is more successful for professional staff than for classified staff. With the latter there are special problems--in the Amherst area there is an educated labor pool for which there are insufficient job opportunities, and there is lack of flexibility in the ability to make use of classified staff.

There are no specific long-range plans which project numbers and types of staff needed in the future, although the Library administration expects to expand even further our already highly developed

program of automated systems in order to compensate for lack of funds to add staff. The two major divisions do have short-range programs for the utilization of staff.

New positions must be justified as part of the budget process. In 1975 the University Personnel Office established a precedent for conducting a job audit to evaluate requests for classified positions.

RECOMMENDATIONS

The Library administration should formally adopt and publicize a plan for the utilization of staff in relation to long-term goals so that there can be some focus for the staff development effort. There should be some provision for periodic revision of the plan in the light of changing circumstances. Consideration should be given to conducting a skills inventory which would improve the utilization of staff.

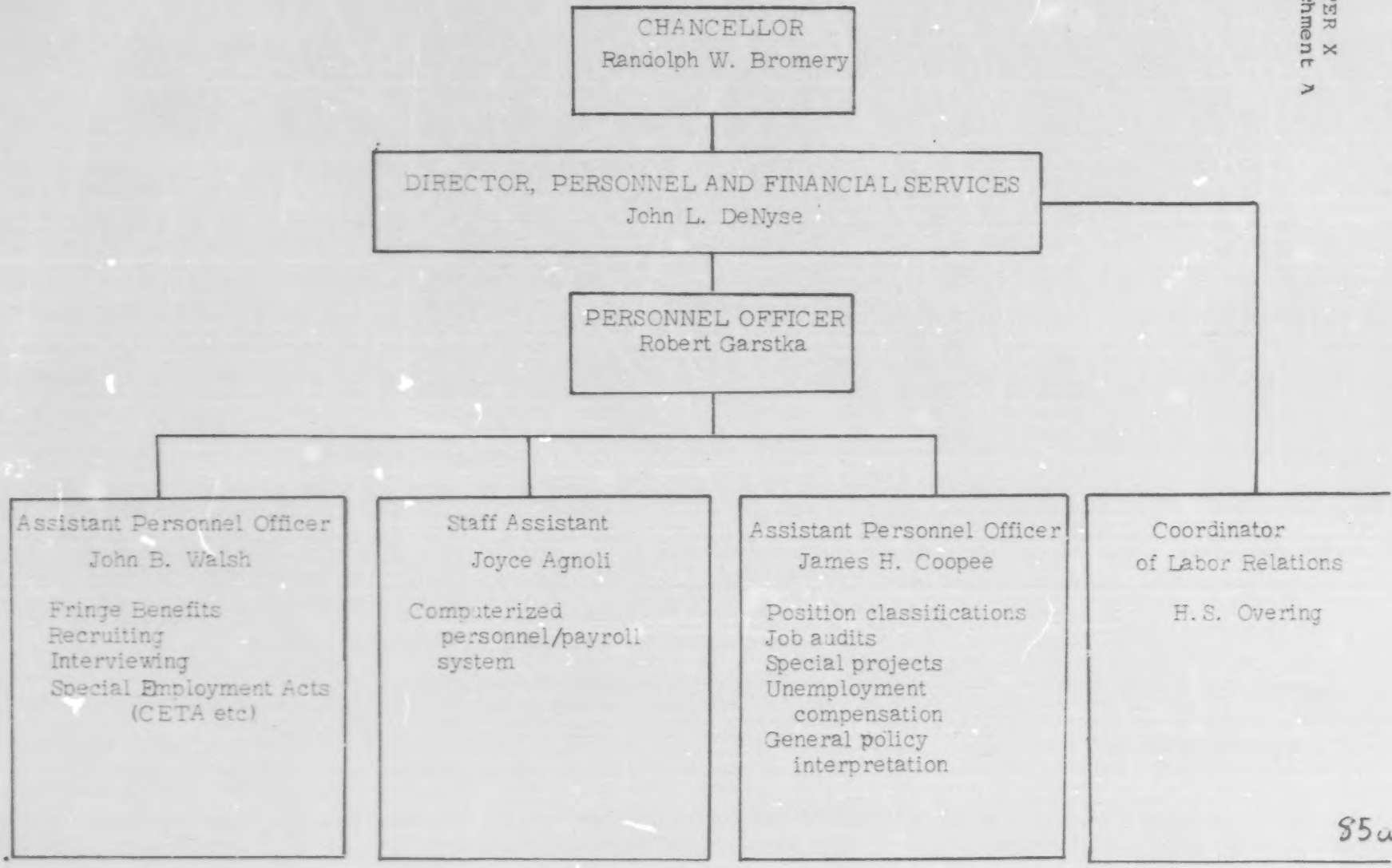
The personnel staff should make an effort to explore with the University Personnel Office the possibility of more flexibility in the uses of classified staff.

Personnel Task Force:

Betty Brace
Warren French
Edla Holm
Marjorie Karlson, Chairperson
Theodore Slate

University of Massachusetts/Amherst
PERSONNEL STRUCTURE
March, 1975

CHAPTER X
Attachment A



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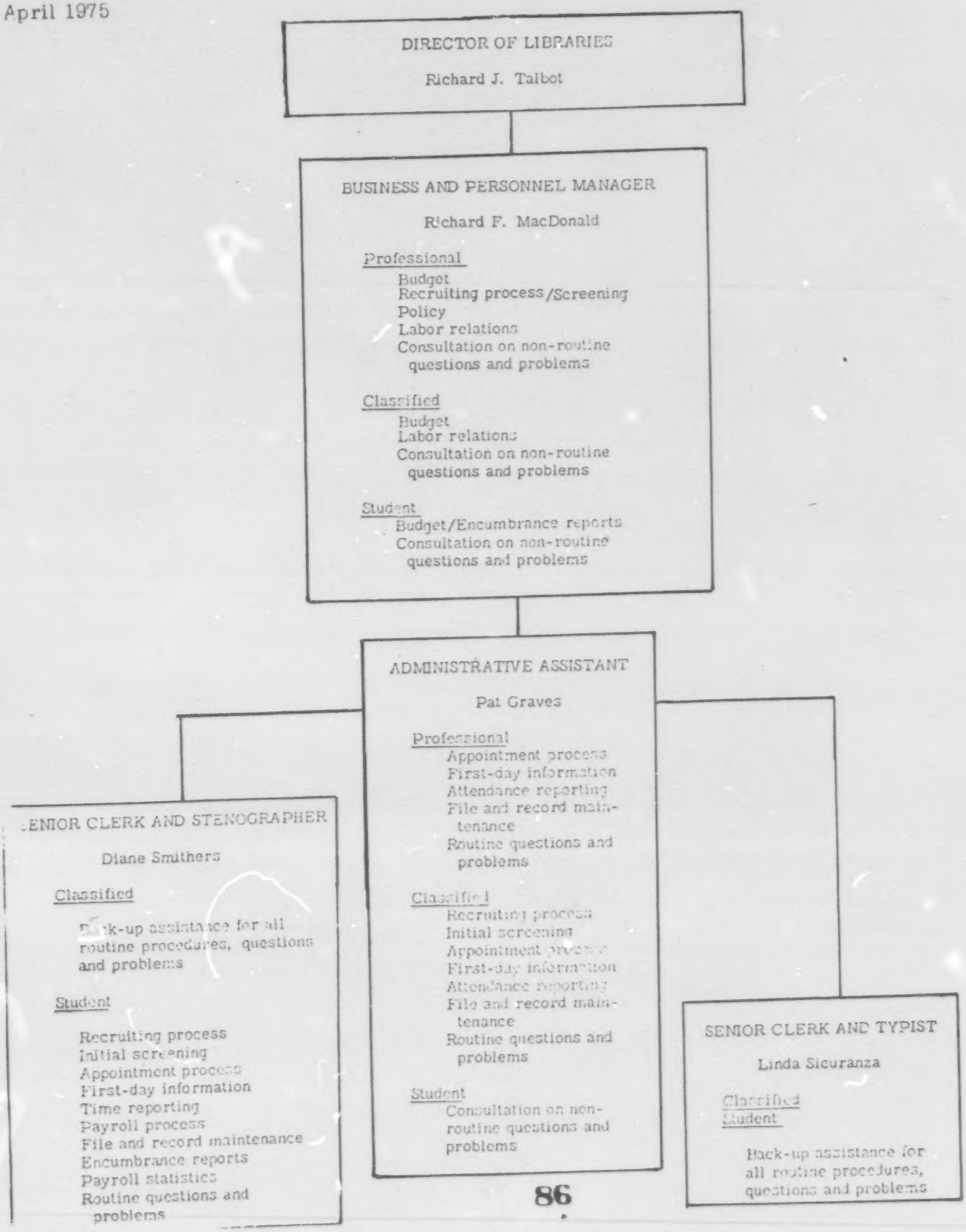
Approved by J. Coopee, 3/6/75

University of Massachusetts/Amherst

UNIVERSITY LIBRARY PERSONNEL
STRUCTURE
April 1975



CHAPTER XI

GENERAL MANAGEMENT

INTRODUCTION

The General Management Task Force was charged with examining and evaluating current Library practices relating to communications, public relations, and executive direction and coordination. Communications, both external and internal dominated the inquiry; we gathered from the interview notes and responses to the Needs Assessment Surveys that this is the area which needs almost constant attention and improvement. To a large extend communications are a by-product of management styles, and are a key ingredient of effective work coordination. Since the development of management skills is being studied by the Personnel Task Force and the Leadership and Supervision Task Force, the General Management Task Force did not suggest any reorientation of managers; instead we have tried to describe the overall patterns which emerged from the various sources, and to suggest ways that the different existing management styles could be modified or supplemented by improved communications techniques.

The Library's main building places some serious constraints on graphic communications, and in many cases no solution short of major remodelling could be found. Other problems are due to the scattering of work areas and a lack of sufficient staff to cover all of the possible service points. The Library's communications with the campus appear to be less than consistent, which makes good public relations difficult. The tapering off of growth of the University provides both a need and an opportunity for closer consideration of operational problems, among them communications and more effective use of existing resources.

LIBRARY COMMUNICATIONS

The Library currently employs a variety of methods for communicating with the various groups which make up the University community, including direct communication with individuals, departments and units. Its public relations efforts are complicated by the fact that existing lines of communication serving the primary groups (students, faculty, and staff) are unequal both in terms of quality and quantity. Clearly, careful planning, coordination and review of all public relations activities is essential if effective communications between groups are to result.

The remarks found below about existing formal means of communication are intended to illustrate the following needs: (1) the need to describe the lines and extent of the communications system as it exists, in order to assess its strengths and weaknesses; (2) the

need to describe the informational needs of each group within the communications system, in order to be prepared to evaluate the level of planning, coordination and review necessary to achieve effective communications between all groups; (3) the need to take appropriate action to improve the present communications system.

A key means of communication between the Library administration and the University administration is the library's Annual Report, prepared by the Director at the end of the fiscal year, including statistical data useful for making comparisons from year to year. A complete version of this report is submitted to the Vice Chancellor for Academic Affairs, and to the Chancellor. Starting with fiscal '73, a condensed version of this report edited by the Office of Institutional Studies has been submitted to the President as part of a combined annual report for the entire Amherst campus. In addition, since 1973 a nearly complete version of the Director's annual report has been distributed to faculty and staff via the Fall issue of the Library Newsletter. Thus, the information contained in the annual report has been reaching a greatly expanded on-campus audience in recent years.

RECOMMENDATION

The Task Force recognizes the value of this information source and recommends that publication of the Director's annual report in the Library Newsletter be continued.

A Library Newsletter, prepared by the Library Newsletter Committee in consultation with the Director, has been distributed to faculty and staff, and to the 5-College Librarians since March, 1970. The original purpose of this publication was to provide "a regular means of communication to the university community, its frequency (approximately 4 times a year) depending on the number of developments of significance to the university community" (from editorial statement V. 1, no. 1, March 1970). It should be noted here that although the Newsletter has always contained articles of wide general interest to the "university community" as a whole, it has never been distributed to students or been called to their attention in other ways. The Newsletter is potentially a very useful means of communicating certain categories of information.

RECOMMENDATION

The Task Force recommends that the purpose and scope of the Library Newsletter be more clearly defined, so that its significance in the communications system can be better understood and evaluated, and that a timetable be established for release of certain categories of information which are needed at particular times during the academic year.

The Library Information Bulletin is a weekly publication edited by the Director's Administrative Assistant. Although any staff member may submit items for the Bulletin, it has been used primarily as a means for the Library administration to transmit information to the staff. Copies of the Bulletin also go to the Vice Chancellor for Academic Affairs, the University Personnel Office, M.S.E.A., the Five College Librarians and the Faculty Senate Library Committee. Categories of information regularly included are: administrative notices, notices about the building, facilities or operating procedures, announcements and reports of meetings and conferences, information about visitors, news of staff members (with their consent), personnel actions and announcements of vacant positions. Because it reaches all library staff members and transmits useful, interesting and timely information, the Library Information Bulletin is the most important form of written communication within the library. We would like to see its base of contributions and the kinds of information included broadened. Having news of departmental activities as a regular feature in the Bulletin might be one means of enhancing inter-departmental communications, which was often cited in the Needs Assessment Survey as being less than satisfactory.

RECOMMENDATION

The Task Force recommends revitalization of the system of staff reporters for the Bulletin in each department of the Library. These reporters as a group should have committee status, with appointments (or elections) to fill vacancies as needed. Each reporter would be responsible for submitting news of ongoing projects or special contributions of his department and its individual members. It is particularly recommended that classified staff be included in this reporting system.

Campus news publications are being used by the Library administration in the following ways: (1) the Weekly Bulletin, issued from the Office of Public Affairs for distribution to faculty and staff, is used as a vehicle for timely schedule announcements, e.g. notices concerning library hours, and when reserve lists are due; (2) the University Bulletin, also produced by the Office of Public Affairs for faculty and staff, publishes articles relating to "news of general interest to the university community", and has occasionally carried articles about library affairs. (3) the Collegian, the student newspaper, is sent notices concerning library hours on a regular basis. The Collegian has occasionally agreed to give the Library space to transmit information about the Library. Since there are times during the year when the Collegian actively seeks copy (at the beginning of the semester, during exams, etc., when its staff is unable to supply sufficient copy itself) advance planning on the Library's part could undoubtedly result in more coverage in the Collegian.

RECOMMENDATION

Continued efforts should be made to make the Collegian a more effective communication link, since its audience includes the entire student body as well as some members of the faculty and staff.

Alternative means of getting more information to students should also be considered.

RECOMMENDATION

The Task Force recommends that an information center be created in the elevator lobby on the main and entrance levels. A glass enclosed bulletin board to be maintained by Public Services could contain up to date information on building problems, hours, tours, special services, etc. Announcements and articles of general interest might be clipped from the Library Information Bulletin, Library Newsletter, Collegian, etc. to be posted.

Minimal use has been made of the campus radio station for transmitting information about the library, (e.g., announcements about snow day hours are made over the radio). Its potential usefulness should be reassessed once the strengths and weaknesses of the present communications system have been evaluated.

Other in-house publications intended to help inform library users about services and materials available to them include the Library Guide and various brochures prepared by the Reference Department. Hand-out copies of these and the Five-College Library Guide are displayed on a table adjacent to the Reference Desks on the main floor. This arrangement has proved workable, but could be improved. (A specially designed display rack for library hand-outs at this and/or other locations might be preferable.) All such publications should carry dates of publication or revision.

Signs are being used quite effectively in the new Library. Planning, coordination and review of needs in this area should be given on-going attention. The Task Force suggests that a survey of certain categories of questions (e.g., directional questions asked at public service desks) be conducted to detect specific areas in need of improved graphics. Samplings of other categories of questions, such as those relating to building problems, might prove useful in developing additional alternative means of communications, such as the bulletin board, hand-outs, AV instructional devices, changes in the structure and content of the regular library tours, etc.

Regularly scheduled tours of the Library are an important means of transmitting basic information about the Library and its services to users. Current efforts to offer tours seem to be working well and should be continued.

Other valuable opportunities for exchange of information between library staff and users include contacts made at public service desks generally, and those made at course-related library sessions. Evaluation questionnaires distributed in connection with many of the latter programs should prove useful in planning for changes and improvements in this type of service.

An extensive program of freshman orientation and classroom assistance is carried out by the Reference Department and Branch Libraries in conjunction with classroom instruction. These may include tours, outlines of subject-oriented reference materials and discussion of research methods.

Continued emphasis on library instruction is recommended, since this is one of the best means of improving both communications and service.

Users have additional means of making their views known to library administrators and staff via the Faculty Senate Library Committee, library liaison officers and the Suggestion Box. Students probably view the latter as their main vehicle for voicing opinions even though there are some students on the Faculty Senate Library Committee.

RECOMMENDATION

Since the role of the Faculty Senate Library Committee is not generally known, the Task Force suggests that announcements concerning important recommendations made by this group be made known to library users and staff. At present, this could be done in part by clipping such announcements from the Library Information Bulletin or minutes of meetings of the Administrative Council, where they sometimes appear. A better method should be considered.

The present method of displaying responses to "suggestions and complaints" made via the Suggestion Box should also be improved; the bulletin boards suggested above might provide space for posting.

RECOMMENDATION

The Task Force recommends finding a better location for posting these responses, and revising the forms provided users for making "suggestions and complaints" to encourage positive as well as negative feedback.

Furthermore, since negative feedback can often be used for constructive purposes the effects of communicating this kind of information from library staff to user should be investigated. For example, problems resulting from infringement of rules and policies, and vandalism, should be made known to library users. Studies have shown that users are generally unaware of the serious consequences of some of their actions (e.g., ripping-off journal articles).

RECOMMENDATION

The Task Force recommends that the Library administration consider appropriate means for bringing this information to the attention of users.

EXECUTIVE LEADERSHIP AND COORDINATION

The University of Massachusetts at Amherst Library is administratively organized in a traditional hierarchical pattern, which reflects the basic pattern of the rest of the administration of the University. The results of the Likert Profile of the Administrative Staff showed a consistency of viewpoints overall; most respondents felt that the Library management should be moving toward greater participation. Throughout the notes from interviews with the administrative staff the feeling of responsibility or "the buck stops here" is evident. The Task Force found on the whole a fairly positive view of the overall management of the Library.

The Needs Assessment Survey, which was used to elicit the viewpoints of all library staff members did reveal specific problem areas. Communications--within each department, interdepartmental, and interdivisional--is the area of greatest concern.

On the departmental level, the survey indicated that a high percentage of non-supervisory personnel are unaware of whether or not formal written goals exist for their units, and, even where such formal goals exist, do not receive information--such as the monthly reports--which indicates where the department stands in relation to these goals. Many of these people also perceive that they have little or no role in setting the goals and reviewing the progress of their own departments. The amount and quality of information which the individual worker receives is largely dependent on the interpersonal style and management philosophy of his department or unit head. Our recommendations are aimed at equalizing the information received by individuals in different departments of the library by reducing dependence on the immediate supervisor as a primary information source, by strengthening alternate sources of information, and by standardizing the information which is released in each department.

The lateral flow of necessary information from one department to another and among the divisions was also cited as being in need of improved consistency. A significant number of respondents to the Needs Assessment Survey suggested that policies and procedures for each department be written and revised as necessary. Also suggested was the exchange of departmental monthly reports, and that minutes of divisional meetings be routed to the other divisions. The feeling as expressed by staff members at all levels (supervisory/non-supervisory) is that information is available to those who ask for it. However, it is often necessary to rely on informal channels to obtain information which should be more readily available. Several of the recommendations of this Task Force are aimed at making information more accessible, and making the information one receives less dependent on one's informal contacts.

SPECIFIC RECOMMENDATIONS

To the Director:

1. The Director must set the management style for the organization; he should make his own management philosophy clear and indicate the direction in which he would like others below him to move managerially.

2. Staff meetings once a month in lieu of a departmental meeting that week might do away with the problem of differing amounts of information received by some staff members. Each meeting should be structured, with an agenda provided beforehand, and allowing for a period for questions/suggestions.

3. The policy of having members of committees (both Library and University) report annually is be commended. We recommend that it be continued.

4. Minutes of the Administrative Staff meetings should be more complete, since these meetings are viewed as a primary communications link.

To Division/Department Heads:

1. Agendas and minutes of Administrative Staff meetings should be circulated or posted in each unit.

2. Unit heads should begin to involve non-supervisory personnel in setting the goals and planning the workflow within their own unit. This might also lead to better performance evaluation.

3. The departmental monthly report should be routed to each member of the department or posted in an easily accessible area.

4. Completion and maintenance of departmental procedural manuals should be encouraged. These are useful for both training of new personnel and clarification of existing policies.

5. Unit Heads and Division Heads should consider setting up office hours when they would be regularly available to staff.

To the Library Staff:

All members of the library staff should accept their responsibility to be informed of and concerned with library matters. Existing opportunities to obtain information or make a contribution to the library should be taken advantage of, for example work on committees, reading and reporting to the Library Information Bulletin, attending staff development seminars.

GENERAL RECOMMENDATIONS

1. Consideration should be given to establishing a staff reading room on the Main Floor of the Library. Library literature, current departmental and divisional reports, policy/procedural manuals, and other publications produced by the library should be kept there.

2. An Orientation Manual should be produced for new staff members. It should be a compilation of material scattered throughout the library's own files and publications. Suggested topics to include:

a. an organizational chart

b. library staff directory

c. list of committees, with purpose of each and list of current members

d. policies--travel, promotion, merit, sick leave, vacation, sabbaticals, released time for course work, etc.

e. salary range and qualifications for each level

f. information on the building, the collections, staff specializations (language and subject specialties)

g. list of current Library and University publications, their scope, frequency and editor(s)

h. list of Library-related University committees or meetings, such as the Faculty Senate Library Committee, Friends of the Library, Deans Council, Library Liaisons, and the purposes of each.

General Management Task Force:

Anne Conway
Joyce Merriam
Marjorie Petrin
Fay Zipkowitz, Chairperson

APPENDIX

SUMMARY RESULTS OF THE NEEDS ASSESSMENT SURVEY AND THE LIKERT PROFILE

NEEDS ASSESSMENT SURVEY

There are a great many comments from the Needs Assessment Survey which provide the basis for the investigation by the various MRAP Task Forces. Because of the quantity of these comments and the vast range of subjects they cover, we attempted no overall analysis of them. We did, however, analyze the multiple-choice questions (11 through 32) using the scoring system provided by MRAP which grouped the questions into seven categories. The seven categories were supervision, motivation, communication, training, decisions, goals, and performance review. There was a single score for each category which was on a scale of one to one-hundred and which give weights to each of the four possible choices. Responses which were limited to a comment or non-response to a specific question were not tabulated. Using this scoring system, the following scores were achieved for each of the groups (which were self-designated):

Supervision		Non-Supervision		Anonymous		Total	
Training	77.7	Communication	70.5	Supervision	72.0	Training	74.1
Goals	75.9	Goals	67.5	Training	63.6	Communication	70.5
Supervision	75.6	Supervision	65.2	Goals	60.3	Goals	70.2
Communication	74.4	Training	64.8	Communication	59.7	Supervision	69.6
Motivation	65.4	Motivation	59.4	Motivation	42.6	Motivation	59.7
Performance Review	63.9	Performance Review	51.0	Decisions	40.5	Performance Review	54.3
Decisions	61.2	Decisions	48.6	Performance Review	39.3	Decisions	52.5
Overall	70.6	Overall	61.0	Overall	54.0	Overall	64.4

It is significant that the same three categories fall below the average, and in the same order, under the scoring system. In looking at the individual questions in these three categories, there are several points to be made. Under "motivation", it appears there is a significant portion of the staff who feel that while they themselves are motivated by their work assignment there are a good number of people in their unit who are only motivated by the "blue envelope delivered on Friday". For the category on "performance review", there seems to be a feeling that the present mechanisms for reviewing individual and unit performance need to be improved. The questions in the "decision" category indicate that there is a general consensus that most policy decisions are made at the top and that there is some consultation with people involved although there is not as much input as the staff would like.

LIKERT PROFILE

The primary implications from the Likert "Profile of Organization Characteristics"[1] are that there is a general feeling[2] on the part of the Administrative Council members that we are presently operating under a management style which is described by Likert as having a consultative pattern of operation (System 3). The Administrative Council also feels that they would like to develop a management style which is described by Likert as a participative group model (System 4). There were several specific points which should be made in regard to the Likert Profile. Firstly, it should be pointed out that while the general feeling was that we presently operated under the characteristics of System 3, we were closer to System 2 (described by Likert as a paternalistic authoritarian model) than to System 4. Secondly, although the general feeling was that we should operate under System 4 in the case of decision making, 50% of the Administrative Council felt decisions should be made by supervisors following discussion of a problem (System 3) as opposed to making them by group participation and usually with consensus (System 4).

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[1]Likert, Rensis. The Human Organization: Its Management and Value. New York, McGraw-Hill, 1967.

[2]Form J-3B, modified from Appendix II, used to evaluate the separate perceptions of the Administrative Council.